

DLAI 5015.1

CI

1 Mar 00

DLA RECORDS MANAGEMENT PROCEDURES AND RECORDS SCHEDULE
[This publication has been revised significantly
and must be reviewed in its entirety.]

A. REFERENCES

1. DLAI 5015.1, DLA Records Management Procedures and Records Schedule, 19 Nov 97, superseded.
2. DLAD 5015.1, DLA Records Management Program.
3. Title 36, Code of Federal Regulations, Chapter XII, "National Archives and Records Administration," Subchapter B, "Records Management," current edition.

B. PURPOSE. This instruction:

1. Supersedes reference A1.
2. This instruction provides guidance for the maintenance and disposition of DLA records in all media -- paper, microform, audiovisual, cartographic, and electronic. It implements the requirements of DLAD 5015.1, DLA Records Management Program.

C. APPLICABILITY AND SCOPE. This instruction applies to HQ DLA and all DLA field activities. Application of the DLA Records Schedule to all DLA records is a legal requirement under Section 3303a of the United States Code.

D. DEFINITIONS. Terms used in this instruction are defined in enclosure 5.

E. PROCEDURES. Specific functions of the DLA Records Management Program are in enclosures 1 through 5. Enclosure 6 contains figures.

F. RESPONSIBILITIES

1. HQ DLA

a. The Chief Information Office (CI) will:

- (1) Formulate, direct, and execute effective records management policies and procedures to promote economy and efficiency in records creation, maintenance, use, and disposition of agency records.
- (2) Exercise staff supervision over the records management program.
- (3) Designate the DLA Records Management Officer to direct and control continuing program operations and activities.
- (4) Represent the Director, DLA in arrangements and agreements with the National Archives and Records Administration on records management matters.
- (5) Formulate, direct, and execute the surveys, studies, program actions, and initiatives necessary for appropriate program supervision and management control.
- (6) Assure that the provisions of this instruction are followed in the maintenance and disposition of HQ DLA records.

b. The DLA Management Team and Staff Directors will:

(1) Establish procedures for the effective documentation of their mission programs and activities.

(2) Designate a Records Management Coordinator to provide periodic assessments of internal records management practices and to serve as the principal point of contact for records management matters.

2. DLA Management Team and Staff Directors, and Heads of DLA Primary Level Field Activities (PLFAs) will:

a. Establish procedures for the effective documentation of their mission programs and activities.

b. Establish an active and continuing records management program and use the DLA recordkeeping system for all records created.

c. Assure that activities newly established or assigned to DLA install and convert active non-DLA files to the DLA recordkeeping system within 6 months.

d. Assure that the provisions of this instruction are followed in the maintenance and disposition of all records under their jurisdiction.

e. Submit a request for new or revised records series to HQ DLA, ATTN: CI to set up appropriate disposal standards for categories of records not specifically identified in DLAD 5015.1.

f. Request approval of exceptions to keep files longer than prescribed by this instruction by submitting a request with adequate justification to CI.

3. The Heads of DLA Primary Level Field Activities will:

a. Designate a Records Management Officer for the activity to:

(1) Exercise staff supervision over records management program activities and compliance with the requirements of DLAD 5015.1 and this instruction.

(2) Survey and evaluate staff records management practices of the activity and prescribe corrective action as required.

(3) Assess and evaluate the adequacy of applicable records disposition standards.

(4) Establish and maintain a records management orientation and training program on policies, responsibilities, and techniques for the implementation of recordkeeping requirements. Training should emphasize the distinction between records and nonrecord materials, regardless of media. Training should also include local procedures for retirement of records.

(5) Establish and maintain a records holding area when cost-effective in the management of the activity's records.

b. Provide for the designation of records management officers at secondary level field activities to perform duties comparable to those described in subparagraph (1) above.

c. Provide for the designation of records management coordinators within staff elements and subordinate activities as required to maintain staff oversight and management control.

G. EFFECTIVE DATE. This publication is effective immediately.

H. INFORMATION REQUIREMENTS

1. SF 135, Records Transmittal and Receipt. See enclosure 1, paragraph B12d(2).

2. DLA Form 1702, Microform System Feasibility Study. See enclosure 3, paragraph 1a.

3. DLA Form 1702a, Microform System Proposal. See enclosure 3, paragraph 1d.

BY ORDER OF THE DIRECTOR

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|------------------------------------|---|
| 6 enclosures | R.B. FREDERICK |
| 1. DLA Records Schedule | Acting, Headquarters Complex Commandant |
| 2. Records Management | |
| Requirements and DLA Functional | |
| Files System | |
| 3. Supplemental Records Management | |
| Application (RMA) Functional | |
| Requirements | |
| 4. Micrographics | |
| 5. Definitions | |
| 6. Figures | |

COORDINATION: CAHS

Encl 1
DLAI 5015.1

DLA RECORDS SCHEDULE

Application of the DLA Records Schedule to all DLA records is a legal requirement under Section 3303a of Title 44 United States Code. This enclosure shall be considered a policy document. The placement of the DLA Records Schedule as an enclosure to this instruction is for administrative purposes only. Its use is mandatory DLA worldwide.

110 COMMON RECORDS. The records described within this series are generally found within each office and are retained to aid in the conduct of the internal management and other non-mission functions of the office. The 110 series includes categories covering office reference files, office administration records, and supervisor's personnel files. Files do not contain program records and generally require only administrative action. Mission and program records are described in other series.

110.05 Files Outlines. List of file numbers in use within an office to aid in filing and for reference purposes. (Destroy when 6 years old.) GRS 16, Item 7

110.10 Suspense Files. Records arranged chronologically as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

110.10A Manual or electronic control system. (Destroy after action is completed, or when no longer needed for analysis or follow-up inquiries, whichever is later.) GRS 23, Item 6

110.10B The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected. (Withdraw documents when reply is received.)

110.10B(1) (If suspense copy is an extra copy, destroy immediately.) GRS 23, Item 6

110.10B(2) (If suspense copy is the file copy, incorporate it into the official file.) GRS 23, Item 6

110.13 Reading Files. Extra copies of outgoing communications, including joint message forms, arranged chronologically, and maintained for reference.

110.13A HQ DLA Executive Office. The Director's chronological file of outgoing correspondence signed personally by the DLA Director or Deputy Director, and copies of significant letters dispatched at lower levels but forwarded for personal information of the DLA Director. (Permanent. Transfer to the National Archives in 5-year blocks when 30 years old.) N1-361-91-2

110.13B Other activities. (Destroy after 1 year.) N1-361-91-2

110.16 Policy and Precedent Files. Duplicate copies of correspondence establishing policy or precedent and retained for office reference. (Destroy each document when superseded, obsolete, or no longer needed for reference.) N1-361-91-2

110.19 Transitory Files. Documents of short-term interest which have reference value but no documentary or evidential value. Includes routine requests for information and copies of replies, announcements of upcoming programs and events, short-term schedules, and similar materials. (Destroy after 3 months, or when no longer needed, whichever is sooner.) GRS 23, Item 7

110.22 Tracking and Control Files. Logs, registers, indexes, databases, and similar records used to control or document the status of correspondence, reports, or other records in progress and not appropriate for filing with related records under other series. (Destroy when no longer needed.) GRS 23, Item 8

110.25 Publication Reference Libraries. Copies of DLA and departmental publications maintained in organized collections for general reference. Includes all DLA regulations, PLFA supplements, Standard Operating Procedures, and similar published materials. Excludes issuing office record sets of publications. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-91-2

110.28 Specialized and Technical Reference Materials. Copies of materials maintained within individual offices for specialized reference. Includes copies of publications issued by DLA, other Department of Defense elements, and other Government agencies; office instructions; desk procedures, and similar records. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-91-2

110.31 Presentation Aids. Materials used by staff offices for conference presentations, in-house training, executive briefings, and related activities. Includes utility copies of formal agency audiovisual productions. (Destroy when no longer needed except return AV utility copies to source.) N1-361-91-2

110.34 Unidentified Files. Records for which an appropriate file number has not been assigned. Authorized for use ONLY after approval by records management officer and on an interim basis not to exceed 1 year until a permanent number is developed. Paragraph 6f, enclosure 2 describes procedure to request a new file number. These records will be retained in CFA until disposition authority is established. (Do not destroy.) N1-361-91-2

110.36 Schedules of Daily Activities. Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by DLA employees while serving in an official capacity, EXCLUDING materials determined to be personal.

110.36A Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files. (Destroy or delete when 2 years old.) GRS 23, Item 5a

110.36B Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files. (Destroy or delete when no longer needed for convenience of reference.) GRS23, Item 5b

110.37 Office Administrative Files. Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records related to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work

progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office. NOTE: This does not include record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office.

(Destroy when 2 years old.) GRS 23, Item 1

110.40 Office Studies and Analyses. Records created as a result of studies and analyses conducted within an office that pertain to organization, workload, manpower, space requirements, office layouts, costing data, budgets, and similar records not directly related to mission. (Destroy after 2 years, or when no longer needed, whichever is sooner.) N1-361-91-2

110.43 Office Meetings Files. Records accumulated by participants in working groups, process action teams, ad hoc committees, and similar groups for work on assigned projects and tasks, excludes copies retained by office of primary interest. (Destroy after 1 year, or when no longer needed, whichever is sooner.) N1-361-91-2

110.44 Publication Background Files. Background materials used in the development and preparation of publications (regulations, manuals, supplements, staff instructions, and similar published materials) and retained by issuing offices. Includes studies, interview notes, concurrences, non-concurrences, and other pertinent comments related to proposed publication.

110.44A HQ DLA. (Permanent. Cutoff when no longer pertinent to current policy and retire to FRC. Transfer to National Archives when 30 years old.) N1-361-93-1

110.44B Other activities. (Cutoff when rescinded, superseded, or obsolete. Destroy after 10 years.) N1-361-93-1

110.46 Staff Visits. Correspondence, reports written after visits with findings and recommendations, and other similar records relating to staff or technical assistance visits to an activity. (Destroy on completion of next comparable visit or when no longer needed, whichever is sooner.) N1-361-91-2

110.49 Office Time Keeping Records. Various forms and records used to account for individual employees time. Includes overtime requests and approvals, records used for time accounting under alternate work schedules such as flexitour, and similar records. (Destroy after 6 years, or if applicable, after GAO audit, whichever is sooner.) GRS 2, Item 7

110.50 Leave Application Files. SF 71, Application for Leave, or equivalent plus any supporting documentation for requests and approval of leave.

110.50A If employee initials time card or equivalent. (Destroy at end of following pay period.) GRS 2, Item 6a

110.50B If employee has not initialed time card or equivalent. (Destroy after GAO audit or when 3 years old, whichever is sooner.) GRS 2, Item 6b

110.52 Office Financial. Records used to manage the expenditure of funds within an office including manual or automated control systems and supporting documents. (Destroy after 1 year.) N1-361-91-2

110.55 Position Description Files. Copies of documents describing an established position within an office and related records. Includes forms identifying position security requirements. (Destroy when position is abolished or position description is superseded.) N1-361-91-2

110.58 Union Matters. Agreements, memoranda, correspondence, and other records relating to relationship between management and employee unions or other groups. (Destroy when superseded or obsolete.) GRS 1, Item 28a(2)

110.61 Office Record Disposition Files. Descriptive inventories, disposal authorizations, schedules, and reports.

110.61A. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.

110.61A(1) SF 115s that have been approved by NARA. (Destroy 2 years after supersession). GRS 16, Item 2a(1).

110.61A(2) Other records. (Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable.) GRS 16, Item 2a(2)

110.61B Routine correspondence and memoranda. (Destroy when 2 years old.) GRS 16, Item 2b

110.66 Internal Control Files. Copies of correspondence, reports, management control review findings, and related responses and backup materials. (Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.) GRS 16, Item 14f(2)

110.67 Inquiries and Reviews. Copies of Congressional inquiries; GAO and Inspector General reports; Hotline, fraud, waste and abuse awareness material; other reports, reviews and audits and related responses and backup materials. (Destroy when superseded or no longer needed for reference.) N1-361-91-2

110.70 Support Agreements. Copies of inter/intraservice support agreements and similar instruments that document categories and terms of support between receiving and supplying activities and related correspondence. Does not include records of activity responsible for executing agreement. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-91-2

110.73 Contracting Officer's Technical Representative (COTR) Files. Records relating to contract oversight and receipt/acceptance of goods and services by individual offices assigned responsibility. Includes documentation such as copies of contracts and modifications, correspondence, inspection and performance reports, and related records. (Destroy 3 years after completion of contract.) N1-361-91-2

110.80 Supervisor's Civilian Personnel Files. Records maintained by a supervisor or manager concerning civilian employees under his/her administrative control. Folders may contain: a record of the employees work history (supervisor's copy of position description, performance plan, performance ratings, other evaluations or notes for use in evaluating performance for counseling employees, and for basing disciplinary action); records of training planned, requested, scheduled or taken; printouts from automated personnel systems providing supervisors with day-to-day operating level information concerning their employees; letters, documents, notations or other information maintained only temporarily by the supervisor regarding the conduct or performance of an individual employee. These records must be safekept under the provisions of DLAR 5400.21 and applicable system notice in DLAH 5400.1, DLA Systems of Records Handbook. (Review annually, destroy superseded or obsolete documents. On separation from organization, transfer to gaining supervisor or servicing personnel office, as appropriate.) N1-361-91-2

110.84 Supervisor's Military Personnel Files. Informational documents accumulated on individual military personnel by offices not having custody of the individual personnel records. Includes copies of military position descriptions. (Review annually, destroy superseded or obsolete documents. On transfer or separation of individual, place in inactive file. Cut off inactive file at end of calendar year, hold 1 year, then destroy.) N1-361-91-2

110.90 Classified Material Access. Documents maintained by custodians of classified files that constitute authorization for individuals to have access to classified files. This includes forms containing individual's name and signature, classification of files concerned, information desired, and signature of an official authorizing access. (Destroy on transfer, reassignment, or separation of the individual, or when obsolete.) NN-168-94

110.91 Record Activity Clearance Eligibility Listing (RACEL) Clearance Suspense or Status Files. Lists of personnel security information, or copies of clearance requests held by offices other than security offices as a suspense or control record of the status of personnel security clearances or as a record of

clearance/access status of individuals. (Destroy when superseded or obsolete.) N1-361-91-8

110.93 Classified Documents Registers and Receipts. Documents maintained as accountability registers reflecting classified documents in the custody of the installation or activity such as classified documents receipts, documents reflecting release from accountability, tracer documents, or certificates of destruction. (Destroy when 2 years old.) GRS 18, Items 2/3/4

110.95 Classified Container Information Files. Records of safe and padlock combinations and related information identifying security safes or other containers, including names of individuals who know the combinations. (Destroy upon supersession or upon turn-in of the container.) GRS 18, Item 7

110.97 Classified Container Security Records. Forms placed on the top of safes or cabinets containing security documents and used for providing a control of entry and closing of containers. (Destroy the day following the last entry on the form, except forms involved in an investigation will be retained until completion of the investigation and related actions.) GRS 18, Item 7

110.99 Top Secret Controls. Forms used to ensure positive control of Top Secret documents, showing security classification of the document title or short title, date of the document, distribution dates, intraoffice routing data, and names of persons handling the documents.

110.99A Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. (Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.) GRS 18, Item 5a

110.99B Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intraoffice routing, and comparable data. (Destroy when related document is downgraded, transferred, or destroyed.) GRS 18, Item 5b

COMMAND

115 COMMAND. Relates to management and executive direction of DLA organizations. Documents retained by the offices of DLA Commanders consist principally of copies of correspondence prepared by subordinate staff offices.

115.01 Command Issues. Copies of documents on matters of critical interest to organizational commanders such as organization and mission changes, resource management, mission performance, or similar matters retained for oversight on key areas of organizational performance or convenience of reference.

115.01A Retained by PLFA Commanders and above. (Permanent. Note: Cutoff annually; transfer to appropriate FRC after 2 years; transfer to National Archives when 20 years old.) N1-361-91-12

115.01B Below PLFA level. (Destroy when no longer needed for reference.) N1-361-91-12

115.02 Command Administration. Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records related to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office. NOTE: This does not include record copies of organizational charts, functional statements, and related

records that document the essential organization, staffing, and procedures of the office. (Destroy when 2 years old.) GRS 23, Item 1

CONGRESSIONAL AFFAIRS

120 CONGRESSIONAL AFFAIRS. Relates to the program and functions involving liaison between DLA and Congress.

120.01 Congressional Affairs Program/Project Files. Documents related to the formulation, management, administration and execution of individual Congressional Affairs programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents.

(Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-3

120.02 Congressional Affairs Correspondence Files. Documents providing general directions, staff guidance and reporting in the management and administration of the Office of Congressional Affairs including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere. (Destroy after 2 years.)

N1-361-91-3

120.10 Congressional Inquiries. Correspondence and related backup material resulting from inquiries by members of Congress and Congressional committees concerning DLA matters and Agency responses to these inquiries. (Destroy after 8 years.) N1-361-91-3

120.20 Congressional Hearings and Testimonies. Hearing schedule statements, inquiries from committees, witness lists, copies of other witnesses statements, transcripts, and related materials accumulated as a result of preparing and presenting testimonies before Congress. (Permanent. Cutoff at close of each Congress, hold in CFA 2 years, and retire to FRC. Transfer to the National Archives when 30 years old.) N1-361-76-5

120.30 Biography Files. Pictures, biographies, district information, and similar data accumulated on each member of Congress for use by Agency personnel appearing before congressional hearings. (Destroy after 2 years or when no longer needed for reference.) N1-361-91-3

COMMAND CHAPLAIN

125 COMMAND CHAPLAIN. Relates to the programs, functions, and activities of the DLA Command Chaplain.

125.01 Command Chaplain Program/Project Records. Documents related to the formulation, management, administration and execution of individual religious and/or Command Chaplain programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents.

(Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-97-2

125.02 Command Chaplain Correspondence. Documents providing general directions, staff guidance and reporting in the management and administration of the office of the Command Chaplain including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere. (Destroy after 2 years.)

N1-361-97-2

125.10 Chaplain Counseling Case Files. Documents relating to counseling of DLA employees and/or their family members. Included are counseling interviews notes, forms, correspondence and other documents related to a specific counseling case. (Destroy when no longer needed.) N1-361-97-2

125.20 Chaplain/Religious Activity Records. Information on religious education, training and other needs of faith groups, denominations, or religious sects used for program planning. Included are questionnaire responses, survey results,

correspondence, and related material relating to Chaplain sponsored activities. (Destroy when no longer needed.) N1-361-97-2

125.30 Audits and Fund Review Reports. Reports of audit, fund reviews, financial statements, correspondence and related information. (Destroy after 3 years.) N1-361-97-2

125.60 Chaplain Non-appropriated Fund Operating Records. Ledgers, cash receipts, checkbooks, canceled checks, deposit slips, bank statements, vouchers, invoices, finalized purchase orders, investment records, financial statements, petty cash summary vouchers, and similar information related to the receipt, disbursement, and administration of non-appropriated Chaplain funds not maintained by DLA's NAF Accounting Office. (Destroy 3 years after last entry.) N1-361-97-2

125.70 Grant Administration Records. Requests, forms, grant source information (including terms and conditions), local source funding documents and similar information relating to the administration of grants secured to finance (in whole or in part) Chaplain's non-appropriated funds. (Destroy 3 years after expiration of grant.) N1-361-97-2

125.90 Chaplain Contract Files. Information relating to non-personal service contracts including copies of contracts, agreements, coordinations, and similar information (Destroy 2 years after final payment.) NOTE: Original contracts are maintained by the DLA Contracting Office in accordance with 810.00 and/or 830.00 of this instruction. N1-361-97-2

SMALL BUSINESS

130 SMALL BUSINESS. Relates to the direction and implementation of the DLA Small Business Program including DoD Small Business and Small Disadvantaged Business Utilization Programs and related economic development programs.

130.01 Small Business Program/Project Files. Documents related to the formulation, management, administration and execution of individual Small Business programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-11

130.02 Small Business Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Small Business including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

130.02A HQ DLA. (Cutoff at the end of the year. Destroy after 3 years.) N1-361-91-11

130.02B Other activities. (Destroy after 1 year.) N1-361-91-11

130.10 Small Business Source Files. Documents maintained for the purpose of determining source capabilities, such as brochures, replies to questionnaires, financial data, prospectuses, requests for inclusion on bidders' mailing lists, extracts from industry publications, pre-award surveys, and lists of tools and equipment. (Destroy when superseded, obsolete, or when the concern is no longer considered as source of supply for any reason.) N1-361-91-11

130.15 Procurement Technical Assistance. Correspondence, Federal Register announcements, Commerce Business Daily announcements, solicitations for cooperative agreement proposals, program evaluation criteria, applicant proposals, cooperative agreement award documents, recipient performance reports and other similar information used to administer procurement technical assistance programs. (Destroy after 6 years.) N1-361-91-11

130.20 Special Small Business/Economic Utilization Projects and Reports. Documents relating to participation in special projects as directed by higher headquarters and documents relating to special reports required by congressional

interest, other Government agencies, and higher headquarters. (Destroy after 3 years.) N1-361-91-11

130.25 Outreach Development Files. Conference information, registration forms, correspondence, publication cover letters and inquiries related to various outreach programs used to develop outreach programs; coordinate, sponsor, and participate in Federal, State, and local government and industry sponsored conferences, trade fairs, and economic assistance events in support of outreach programs. (Cutoff at the end of the year. Destroy after 3 years.) N1-361-91-11

130.30 Small Business/Labor Surplus Area Preference Activity Files. Documents relating to preferential consideration given to small business and/or labor surplus area firms.

130.30A Procurement activity. (Destroy after 10 years.) N1-361-91-11

130.30B Administrative activity. (Destroy after 3 years.) N1-361-91-11

130.35 Minority Contracting. Minority Contracting Program (8A), search and offering letters and related responses used to assist and counsel small and disadvantaged business firms in acquiring information and in resolving problems encountered in bidding or performing on DoD contracts. (Destroy after 3 years.) N1-361-91-11

130.40 Procurement Action Reviews. Copies of proposed contract actions, abstracts of bids and offers and similar documents, work papers and reference material used to review pending procurement actions for breakouts and set aside opportunities for increasing small business participation and competition for DoD requirements. (Destroy after 3 years.) N1-361-91-11

130.45 Command Management Plan. Locally developed Command Management Plan and related correspondence created in the development and concurrence of plan; and reference copies of other Small Business office plans used in the development of an annual command management plan to identify and promote initiatives to be taken to accomplish objectives of the DLA Small Business Program. (Destroy when superseded, obsolete, or after 3 years, whichever is sooner.) N1-361-91-11

130.50 Sheltered Workshop Support. Inquiries, information requests, cover letters, and correspondence related to the development and implementation of programs for support of sheltered workshops affiliated with National Industries for the Blind (NIB) and National Industries for the Severely Handicapped (NISH). (Destroy after 2 years.) N1-361-91-11

130.55 Federal Prison Industries. Inquiries, information requests, cover letters, and correspondence related to the development and implementation of programs for support of Federal Prison Industries. (Destroy after 2 years.) N1-361-91-11

130.60 Program Goals. Proposed goals, statistical information, measurements of performance, letters and correspondence assigning approved goals used in the establishment of program goals and evaluation of activity performance in achieving goals for the award of prime contracts to firms. (Destroy after 6 years.) N1-361-91-11

130.65 Subcontract Negotiations. Contractor's plans, copies of contracting documents and related records used to review contract proposals and participate in negotiations with DoD prime contractors regarding their proposed subcontracting plans for award of subcontracts to small and disadvantaged business firms. (Destroy after 3 years.) N1-361-91-11

130.70 Subcontractor Plans and Programs. Evaluations of contractor performance and requests for information and related responses used to evaluate DoD prime contractors, small, disadvantaged, and labor surplus area subcontracting plans and programs, establish or recommend goals for awards to firms, and to evaluate prime contractor performance in complying with goals and other subcontracting plan requirements. (Cutoff at end of the year. Destroy after 3 years.) N1-361-91-11

AGENCY HISTORY

135 HISTORICAL PROGRAM. Relates to the program for production of specific or general histories and the assignment of responsibilities for writing them, including implementing actions.

135.05 Historical Program. Documents relating to the DLA Historical Program. (Destroy after 2 years or when superseded or obsolete, as applicable.) NC1-361-76-4

135.10 Histories. Formally prepared histories, including organizational and functional histories produced by DLA historians or by others for DLA.

135.10A Historians, HQ DLA and Primary Level Field Activities. (Permanent. Transfer to the National Archives when 10 years old.) NC1-361-76-4

135.10B Other offices. (Destroy when no longer needed for historical reference purposes.) NC1-361-76-4

135.15 Historical Background and References. Materials accumulated by historians or for historical purposes consisting of documents collected or maintained as source material, such as transcripts of interviews; maps, charts, and statistical compilations, and special collections of policy directives and correspondence; summaries of major problems and events submitted by operating officials; historians' notes regarding organization or material; and manuscripts and related comments. Official record copies of documents proper for filing in offices other than historians' offices will not be incorporated into this record series; however, copies may be included.

135.15A Historian, DLA. Materials relating to the creation and origin of DLA (previously called Defense Supply Service) and its activities. (Permanent.. Transfer to the National Archives in 5 year blocks when the most recent records are 30 years old.) N1-361-99-3

135.15B Other offices. (Destroy when no longer needed for historical reference purposes.) NN 168-94

135.20 Activity Historical Records. Locally prepared or collected material of an extra or reproduced nature, not required for submission to higher authority, but appropriate for retention because of its local significance, or potential use in production of future organizational or functional histories, or as a source of historical facts. (Destroy when no longer needed for activity historical reference purposes.) NN 168-94

135.25 Activity Memorialization Records. Documents accumulated incident to the naming of a building, group of buildings, street, driveway, area, or facility, and consisting of correspondence, orders, photographs, citations, and related records. (Destroy when no longer needed for activity historical reference purposes.) NN 168-94

135.27 Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by 135.15. Also includes electronic copies of 135.15 records created on electronic mail and word processing systems that are maintained for dissemination, revision, or updating.

135.27A Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. (Destroy/delete within 180 days after the recordkeeping copy has been produced.) N1-361-99-3

135.27B Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. (Destroy/delete when dissemination, revision, or updating is completed.) N1-361-99-3

EQUAL EMPLOYMENT OPPORTUNITY

140 EQUAL EMPLOYMENT OPPORTUNITY (EEO). Relates to the development, execution, and evaluation of the activity Equal Employment Opportunity (EEO) Program which includes providing advise and assistance to the Commander on EEO related actions.

140.01 Equal Employment Opportunity Program/Project Files. Documents related to the formulation, management, administration and execution of individual EEO programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-90-04

140.02 Equal Employment Opportunity Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of EEO including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

140.02A HQ DLA. (Destroy after 2 years.) N1-361-90-04

140.02B Other activities. (Destroy after 1 year.) N1-361-90-04

140.10 EEO Advisory Services. Documents relating to the overall relationships with the command staff, managers/supervisors, other program officials and employees for the execution of program rights, responsibilities, and training. (Destroy when superseded, obsolete or no longer needed.) N1-361-90-04

140.20 EEO Program Evaluation. Documents provided to the command staff including statistical data on employment, sex, race, etc., for use in evaluating aspects of the EEO program. (Destroy after 5 years.) N1-361-90-04

140.30 Affirmative Action Program. Annually compiled reports, plans, statistics and related documents, correspondence and backup materials used in the monitoring, surveillance and implementation of multi-year affirmative action and personnel programs and plans. (Destroy after 5 years or when administrative purposes have been served, whichever is sooner.) N1-361-90-04

140.40 Community Relations. Documents, correspondence and similar materials pertaining to employee management and community related services and programs used to record actions taken in the Federal Womens Program, Handicapped Individuals Program, Hispanic Employment Program and other programs of a like nature.

140.40A HQ DLA. (Destroy after 5 years.) N1-361-90-04

140.40B Other offices. (Destroy when superseded, obsolete, or no longer needed.) N1-361-90-04

140.50 Equal Employment Opportunity (EEO) Complaints/Investigations. EEO complaints, counselor reports, investigative/hearing reports, decisions, appeals, grievances, records of adverse actions, within grade denials, other complaints, related documents and analyzes used to develop case files for tracking the progress/results of individual complaints and/or investigations. (Destroy 4 years after all aspects of case are closed.) N1-361-90-04

140.52 EEO Complaint/Investigation Preliminary Files. Records documenting complaints that do not develop into Official Discrimination Complaint Cases. (Destroy when 2 years old.) GRS 1, Item 25c(2)

140.60 EEO Committee. Minutes from EEO Committee meetings and related documents and correspondence. (Destroy after 3 years, when superseded or obsolete, whichever is applicable.) N1-361-90-04

COMMAND SECURITY

150 COMMAND SECURITY. Relates to all security matters with respect to law enforcement, criminal investigative, physical security, crime/loss prevention, intelligence, foreign liaison, personnel and information security, COMSEC, TEMPEST, ADP security, Defense Hotline and DLA Command Complaint programs.

150.01 Security Program/Project Files. Documents related to the formulation, management, administration, and execution of individual security programs such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort.) N1-361-91-7

150.02 Security Policy/Correspondence Files. Documents providing general direction, staff guidance, and reporting in the management and administration of security functions including interpretations and decisions of applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents. (Destroy when superseded or obsolete.) N1-361-91-7

150.05 Designation of Security Officials. Documents relating to the designation or assignment of individuals as security control officers, documents control officers, and custodians of classified documents. (Destroy when superseded or obsolete.) N1-361-91-7

151 ADP AND COMMUNICATIONS SECURITY. Relates to implementation of DoD, Federal Government, and NIST issuances in ADP security, communications network security, and emanations security. Includes records relating to the administration and implementation of ADP and Communications Security policies, plans, programs, procedures and systems, ADP security risk management, accreditation, certification, and security programs.

151.05 ADP Security Arrangements. Documents relating to arrangements to provide DLA activities with ADP security facilities and countermeasures. (Destroy when superseded, obsolete or no longer needed for reference.) N1-361-91-7

151.07 Contractor Computer Access. Documents relating to the request, review, and approval of contractor access to Automated Information Systems. Includes acknowledgment receipts or similar documents used to verify contractor receipt of assigned logon identifier, starter password, and security instructions. (Destroy 3 years after contract completed/terminated.) N1-361-96-1

151.09 Individual Computer Access. Records relating to assignments of passwords, password receipts, user identification, and system(s) access used to uniquely identify personnel authorized access to applicable automated systems and prevent unauthorized entry to a system.

151.09A System Access Acknowledgment Forms. (Destroy 2 years after the information has been converted to an electronic medium and verified.) N1-361-96-1

151.09B System Access Database. (Delete/destroy when no longer needed for administrative, legal, audit, or other operational purposes.) GRS 20, Item 1c

151.30 ADP Security Risk Analysis Files. Documents pertaining to risk analysis including risk analysis questionnaires, risk analysis reports and related correspondence. (Destroy after 3 years or when PLFA's issue new risk analysis reports.) N1-361-91-7

151.40 Accreditation Files. Documents summarizing Data Processing Installations (DPI) or Automated Information Systems (AIS) goals and objectives, detailed descriptions of proposed operations, plans for acquisition and implementation of additional security test and evaluation, statements of continuing problem areas, resource requirements and impacts, and milestone schedules, correspondence relating to certification requests and certifications. (Destroy 2 years after supersession.) N1-361-91-7

152 INTELLIGENCE. Relates to the collection, evaluation, and analysis of information relating to the war potential and other related activities of foreign countries; or about activities or conditions in the United States which potentially or actually threaten internal security.

152.05 Intelligence Reports. Documents and reports originated or compiled by a DLA activity or by others (CIA, FBI, DIA, or military services) to fill specific DLA requirements. (Destroy after 10 years.) NN-168-94

152.10 Intelligence Reference Files. Published, printed, or processed materials, photographs, or maps, not filed in 152.05, Intelligence Reports, and used as a reference file or library for intelligence purposes. (Destroy when superseded or obsolete.) NN-168-94

153 CRIMINAL INVESTIGATIONS. Relates to programs involving policies, plans, procedures and conduct of criminal investigations, crime prevention activities, loss prevention, and recording and reporting of criminal incidents both internally and into the national crime records system.

153.20 Record Activity Clearance Eligibility Listing (RACEL) Clearance Suspense or Status Files. Lists of personnel security information or copies of clearance requests held by security offices as a suspense or control record of the status of personnel security clearance or as a record of clearance/access status of individuals, excluding copies of clearances included in 390.10, Official Personnel Folders or in 155.40, Personnel Security Folders. (Destroy RACEL computer listings and microfiche upon receipt and verification of updated listing or after 90 days, whichever is sooner. Purge magnetic records 1 year after transfer or separation of the individual.) GRS 18, Item 23

153.50 Criminal Incident/Investigations File. Reports of investigation; messages; statements of witnesses, subjects and victims; photographs; laboratory reports; data collection reports; and other related papers. Records pertain to civilian and military personnel of DLA, contractor employees and other persons who committed or are suspected of having committed a felony or misdemeanor on DLA controlled activities or facilities; or outside of those areas in cases where DLA is or may be a party of interest.

153.50A HQ DLA Staff Director (Command Security). (Destroy 5 years after the receipt of a final report (see exceptions.)) N1-361-91-7

153.50B Other offices. (Destroy 1 year after the receipt of a final report.) N1-361-91-7

153.50C Exceptions:

153.50C(1) Criminal investigation reports generated and entered into the Defense Central Investigation Index (DCII) by DLA criminal investigators, detectives and Command Security Officers. (Retain for 25 years (10 years in hard copy and then on microfiche for the balance of 25 years.)) N1-361-91-7

153.50C(2) Reports of polygraph examination. (Destroy within 3 months after close of the investigation, which included the relevant examinations.) N1-361-91-7

153.50C(3) Documents related to legal or disciplinary actions. (Transfer to file documenting such actions.) N1-361-91-7

153.60 Analysis of Criminal Offenses and Trends. Summaries, charts, graphs and statistical data reflecting trends in crime. (Destroy after 3 years.) N1-361-91-7

155 COUNTERINTELLIGENCE AND SECURITY. Relates to emergency security planning needs, foreign liaison, information security, personnel security, OPSEC, and other information, personnel, or technical security matters.

155.10 Security Violations. Documents relating to reports and investigations of security violations, including final disposition. (Destroy 2 years after completion of final corrective or disciplinary action, except that records of violations of a sufficiently serious nature to be classed as felonies will be destroyed 10 years after all legal and disciplinary actions have been taken.) N1-361-91-7

155.15 Security Inspections. Documents reflecting scheduling, implementation of, and reports of security inspections.

155.15A Government-owned facilities. (Destroy after 3 years.) GRS 18, Item 9

155.15B Privately owned facilities. (Destroy after 4 years.) GRS 18, Item 10

155.20 PLFA Security Profiles. Documents reflecting status of security of PLFA and secondary and tertiary field activities, including internal inspection reports, reports of preliminary inquiry, violation reports, correspondence on special security matters of problems within the activity, and reports of investigation. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-91-7

155.25 Security Regrading Cases. Documents relating to the review of specific case files of classified documents or equipment for the purpose of regrading the document or the equipment. (Destroy after 3 years.) N1-361-91-7

155.30 Top Secret Inventories. Registers, lists, comparable documents, and related paper accumulated in connection with the periodic inventory of Top Secret documents. (Destroy 1 year after completion of the next inventory, provided all material has been accounted for at that time.) N1-361-91-7

155.35 Classified Nondisclosure Agreements. Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by employees with access to information which is classified or classifiable under standards put forth by Executive Order 12356. (Maintain in personnel folder and dispose of in accordance with file number 310.10, Individual Personnel Records, or 390.10, Official Personnel Folders, as appropriate.) GRS 18, Item 25b

155.40 Personnel Security Folders.

155.40A Copies of requests for and certificates of personnel security clearance related transactions, and certificates of security briefing/debriefing, authorized for maintenance by Command Security Officers, and superseded forms serving related purposes; documents pertaining to limited access authorizations; case resumes and other documents relating to the processing of security clearances. Includes comparable transcripts of data in lieu of retaining copies of documents.

155.40A(1) Upon transfer to another DLA activity. (Forward to gaining activity.) N1-361-91-7

155.40A(2) Upon separation or transfer to a non-DLA organization. (Place in inactive file, cut off at end of calendar year, retain in current files area, and destroy after 2 years.) N1-361-91-7

155.40B Case resumes of reports of investigation, when relating to cases where derogatory information is involved, including documents reflecting actions taken and copies of documents similar to those described in subparagraph 155.40A above. Records documenting personnel clearances by HQ DLA will have the same disposition as similar records described. (Upon separation, place remaining documents in inactive file, cut off at end of calendar year, retain in a current files area, and destroy after 2 years.) N1-361-91-7

155.45 Record Activity Clearance Eligibility Listing (RACEL) Clearance Suspense or Status Files. Lists of personnel security information, or copies of clearance requests held by security offices as a suspense or control record of the status of personnel security clearances or as a record of clearance/access status of individuals, excluding copies of clearances included in 390.10, Official Personnel Folders or in 155.40, Personnel Security Folders. (Destroy after transfer or separation of the individual, or when superseded or obsolete.) N1-361-91-7

155.50 Security Awareness. Documents accumulated in connection with systems designed to obtain compliance with security regulations by all personnel, such as a system requiring that each individual periodically read applicable security regulations and sign a statement indicating that he understands them. (Destroy after the next periodic application of the system or upon inactivation of the office or system, whichever occurs first.) N1-361-91-7

155.55 Foreign Visitors. Documents accumulated in connection with visit of foreign nationals to military installations and activities, including documents such as requests and authorizations to visit or receive training, notifications of security clearances, itineraries, reports, and related documents. (Retain in

current files area and destroy 2 years after expiration of approval.) N1-361-91-7

155.60 Counterintelligence Investigative Files. Documents reflecting results of counterintelligence complaint or incident investigations involving DLA personnel or facilities, including reports of investigations from DoD and U.S. Government agencies. (Destroy 5 years after date of last action.) N1-361-91-7

155.65 Counterintelligence Information Files. Documents including counterintelligence threat assessments, reports on organization, mission, and modus operandi of hostile intelligence services, periodic counterintelligence summaries and similar non-investigative reports. (Destroy upon supersession or obsolescence.) N1-361-91-7

155.70 Technical Surveillance Countermeasures (TSCM) Surveys/ Correspondence. Documents relating to the requesting, scheduling, coordinating, conducting and reporting of results of inspections and surveys accomplished to determine vulnerability of DLA facilities to technical surveillance, including documents reflecting follow-up action to comply with recommendations. (Destroy 2 years after next comparable survey or inspection.) N1-361-91-7

155.75 Antiterrorism Reports. Documents concerning reports on terrorism, counterterrorism originated by DoD and other Government agencies and by private sector organizations, including hard copy and electrical messages. (Destroy when superseded, obsolete or no longer needed for reference.) N1-361-91-7

155.80 Terrorism Threat Requests/Assessments. Documents concerning terrorism threat assessment requests and assessments originated and disseminated by Headquarters, Office of Command Security to DLA facilities or to DLA personnel assigned to, temporarily detailed to, or in transit to a particular area. (Destroy after 2 years.) N1-361-91-7

155.85 Terrorist Threat Assessment Information Files. Terrorist threat assessments originated outside DLA and transmitted to DLA for information. (Destroy when superseded, obsolete or no longer needed for reference.) N1-361-91-7

155.90 Antiterrorism Action. Documents reflecting actions in implementation of DoD and DLA antiterrorism programs and related materials.

155.90A Documents reflecting DLA involvement in actual terrorist incidents. (Destroy 7 years after incident is closed. Retain in CFA 5 years then retire to FRC.) N1-361-91-7

155.90B Other documents. (Destroy when superseded, obsolete or no longer needed for reference.) N1-361-91-7

155.95 OPSEC Survey Files. Documents relating to preparation for and participation in OPSEC surveys within DLA Headquarters and primary level field activities. (Destroy upon obsolescence or supersession.) N1-361-91-7

155.97 OPSEC Training Files. Documents relating to the preparation, conduct and follow-up analysis of formal and informal training and awareness instruction designed to acquaint individuals with the objectives, principles and methods of OPSEC programs and to maintain a sense of OPSEC awareness among military and civilian personnel assigned to DLA and PLFAs. (Destroy after 5 years or upon obsolescence or supersession.) N1-361-91-7

157 PHYSICAL SECURITY AND LAW ENFORCEMENT. Relates to the protection of resources against espionage, sabotage, terrorism, damage and theft; physical security and law enforcement prerequisites for the safeguarding of DLA installations, personnel, medical, weapons, classified, and other critical wholesale supply stocks; and development of emergency security response requirements for peace and wartime environments.

157.10 Protective Services Agreements and Authorizations. Documents reflecting memorandums of understanding agreements, and authorizations concerning physical security, law enforcement, and criminal investigative matters with Military

Departments and Federal and State agencies. (Destroy 3 years after supersession or obsolescence.) N1-361-91-7

157.15 Protective Services Special Equipment. Documents relating to requirements for procurement and use of equipment, other than those discussed in 157.70, Physical Barriers, and 157.85, Protective Communications, such as speed detection radars, identification cameras and related equipment, tear gas masks, and specialized transportation equipment. (Destroy 3 years after acquisition of the equipment to which the documents relate or when no longer needed if equipment is not obtained.) N1-361-91-7

157.20 Visitors and Vehicle Temporary Passes and Permits Files. Documents which reflect the request for, issuance of, and use of visitor passes and vehicle permits to gain access to and exit from Government facilities on a onetime basis, including visitor registers and personal property passes. Excludes passes or permits authorizing the entry of or removal of Government property (see 157.95, Security of Material).

157.20A For areas under maximum security. (Destroy 5 years after final entry or 5 years after date of document, as appropriate.) GRS 18, Item 17a

157.20B For other areas. (Destroy 2 years after final entry or 2 years after date of document, as appropriate.) GRS 18, Item 17b

157.22 Guard Logs and Registers. Registers or logs maintained by the guard office and used to post occurrences.

157.22A. Central guard office master logs. (Destroy 2 years after final entry.) GRS 18, Item 20a

157.22B. Individual guard post logs of occurrences entered in master logs. (Destroy 1 year after final entry.) GRS 18, Item 20b

157.25 Individual Access Files. Documents relating to the request for, authorization, issue receipt surrender and accountability records pertaining to identification badges, cards and passes (other than visitor). (Destroy 1 year after obsolete or no longer needed except that individual badges, photographs, or passes will be destroyed upon revocation, cancellation, or expiration and except that credentials relating to personnel barred from a facility will be destroyed 5 years after final action to bar from facility.) N1-361-91-7

157.30 Motor Vehicle Registration. Documents and records relating to permanent registration of private vehicles to include commercial vehicles. (Destroy upon normal expiration or supersession of registration or 3 years after revocation of registration.) N1-361-91-7

157.35 Motor Vehicle Liability Insurance. Documents pertaining to requirements for motor vehicle liability insurance coverage, accepted and accredited insurers, solicitation and sale, suspension or withdrawal of solicitation or accreditation privileges, reports, notices, certificates and other related documents. (Destroy after 1 year, or when superseded or no longer needed, whichever is later except that documents pertaining to suspension or withdrawal actions initiated by DLA activities will be retained and destroyed after 3 years.) N1-361-91-7

157.40 Vehicle Accident Investigation. Reports, sketches, and related papers concerning accident investigations. (Destroy after 2 years.) N1-361-91-7

157.45 Traffic Violations. Documents relating to traffic tickets for moving and nonmoving violations, withdrawal of driver permits, and related papers. (Destroy after 2 years.) N1-361-91-7

157.50 Seizure and Disposition of Property. Documents pertaining to acquisition and disposition of contraband and physical evidence. (Destroy 3 years after final action, except criminal cases in which retention and disposition will be as in series 153.50, Criminal Incident/Investigations File.) N1-361-91-7

157.55 Firearms Registration. Documents relating to registration of privately owned weapons and firearms. (Destroy 6 months after cancellation of registration or departure of registrant from jurisdiction of the registering activity.) N1-361-91-7

157.60 Loss and Recovery of Firearms and Ammunition. Documents and reports relating to the loss and recovery of firearms and ammunition including equipment designed to increase the efficiency or destructiveness of firearms. Includes reports made by HQ DLA to the National Crime Information Center.

157.60A HQ DLA Command Security Office. (Destroy after 10 years.) N1-361-91-7

157.60B Other offices. (Destroy after 3 years.) N1-361-91-7

157.65 Physical Security Area. Documents, plans, and related papers pertaining to classification designation, procedures, and requirements for sensitive areas requiring special protective measures. (Retain in CFA. Destroy after 3 years or when the area no longer requires special protective measures, whichever is later.) N1-361-91-7

157.70 Physical Barriers. Documents relating to use, design, installation, and maintenance of physical barriers. (Retain in CFA. Destroy after 3 years or when barrier is removed, whichever is later.) N1-361-91-7

157.75 Protective Lighting. Documents relating to use, design, installation, and maintenance of protective and emergency lighting. (Retain in CFA. Destroy after 3 years or when lighting is removed, whichever is later.) N1-361-91-7

157.80 Protective Alarm System. Documents relating to use, design, installation, and maintenance of alarms and intrusion detection systems. (Retain in CFA. Destroy after 3 years or when the alarm system is removed, whichever is later.) N1-361-91-7

157.85 Protective Communications. Documents relating to use, design, installation, maintenance, and security of communication nets used by protective services forces. (Retain in CFA. Destroy after 3 years or when the communications net is removed, whichever is later.) N1-361-91-7

157.90 Police Force Records. Documents relating to operation and use of a police force; clearances, qualifications, training, examination, uniforms, and weapons of personnel; and order, supervision, records, and reports. (Destroy after 1 year or when superseded or obsolete, as applicable.) N1-361-91-7

157.95 Security of Material. Documents relating to the use of locks, keys, and combinations; security storage areas and bins; and inspections and movements of vehicles with Government materiel onto, within, and off of installations or facilities.

157.95. For areas under maximum security. (Destroy 3 years after turn-in of key, lock, combination change, etc.) GRS 18, Item 16a

157.95 For other areas. (Destroy 6 months after turn-in of key, lock, combination change, etc.) GRS 18, Item 16b

157.97 Physical Security Surveys. Documents including schedules pertaining to annual, semiannual, or special surveys to determine adequacy of physical security of activities, facilities, or sensitive areas or operations. (Retain in CFA. Destroy after 3 years or when obsolete or no longer needed, whichever is later.) N1-361-91-7

159 INSPECTORS GENERAL (IGs)/DLA COMPLAINTS. Relates to the implementation of the DoD Inspector General Defense Hotline and DLA Complaint Programs.

159.25 Complaint Investigation Policies and Procedures. Documents relating to policies and procedures for handling complaint matters and conducting investigations of complaints received from the Defense Hotline; DoD and military service Inspectors General; DLA Complaint Program; other sources; and fraud, waste, and abuse awareness material. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-87-1

159.50 Complaint Investigative Case Files. Reports of investigations, inquiries, and/or reviews conducted by HQ DLA or subordinate elements including all related supporting documentation. (Destroy 3 years after completion of case.) N1-361-97-4

159.75 Complaint Case Logs. Case logs and cross reference indices used to control the processing of investigations. (Destroy 3 years after completion of case.) N1-361-97-4

SAFETY AND HEALTH

160 SAFETY AND HEALTH. Relates to development and managing programs that assure safe working conditions and to activities that promote the health of employees and others.

160.01 Safety and Health Program/Project Files. Documents related to the formulation, management, administration and execution of individual Safety and Health programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-15

160.02 Safety and Health Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Safety and Health matters including interpretations and decisions on applicability, requests for waivers and exception, data calls and periodic reporting, and similar documents not covered elsewhere.

160.02A HQ DLA. (Destroy after 2 years.) N1-361-91-15

160.02B Other activities. (Destroy after 1 year.) N1-361-91-15

160.20 Safety and Health Case Files. Safety Program Report, mishap reports, accident analysis reports, other similar reports, printouts, and related backup materials used to investigate, record and report hazards and accidents involving Government personnel, vehicles and facilities, and recommend action to prevent recurrences. (Contract Administration/Quality functions should use 773.45, Contractor Mishaps.) (Destroy 5 years after all aspects of the case are closed.) N1-361-91-15

160.40 Hazard Report File. Program Safety Reports, annual Occupational Safety and Health Administration (OSHA) reports, personnel strength listings, quarterly reports, logs, correspondence, notes and related backup materials used to identify hazardous conditions and recommend corrective actions. (Destroy after 3 years.) N1-361-91-15

160.45 Industrial Hygiene Survey Reports. Reports of the data and results of surveys conducted to evaluate employee exposures to workplace health hazards such as noise, toxic chemicals, or radiation. (Destroy after 40 years.) NC1-361-80-1

160.60 Survey and Inspection Files. Reports and inspections of facilities, conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents. (Contract Administration/Quality functions should use 773.65, Specialized Safety Surveys.) (Destroy when 3 years old, or upon discontinuance of facility, whichever is sooner.) GRS 18, Item 9

LEGAL SERVICES

170 LEGAL SERVICES. Relates to providing legal advice and services in all matters involving or affecting DLA such as legislation; procurement and contract claims, appeals, and litigation; other litigation; standards of conduct; and legal assistance for military personnel and dependents.

170.01 Legal Program/Project Files. Documents related to the formulation, management, administration and execution of individual Office of General Counsel programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-5

170.02 Legal Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of the Office of General Counsel including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

170.02A HQ DLA Office of Counsel. (Destroy after 2 years.) N1-361-91-5

170.02B Other activities. (Destroy after 1 year.) N1-361-91-5

170.10 Legislation Files. Records accumulated as a result of preparing and processing legislation, Executive Orders, and proclamations proposed by or of interest to DLA. Includes staff summaries/coordinating actions, proposals, correspondence, draft DLA legislation, comments to legislative proposals drafted by other agencies or DoD, and related background and supporting documentation. (Cutoff at close of each Congress. Destroy after 5 years.) N1-361-91-5

170.11 Legal Opinions. Legal opinions and related documentation on plans, programs, systems, and operations not appropriate for inclusion in other files. (Destroy after 3 years or when no longer needed for reference, whichever is later.) N1-361-93-3

170.13 Contract Review Files. Logs, checklists, comments, and similar records relating to the review of solicitations and proposed contract awards for legal sufficiency. (Destroy 3 years after contract terminated/completed. Exception: Files that pertain to contract award protests/appeals proceedings, transfer to appropriate litigation file.) N1-361-91-5

170.16 Post-award Contract Files. Case files containing contractor complaints and disputes, attorney notes, conversation records, Contracting Officer Decisions, copies of cases and other supporting documentation relating to resolution of matters outside litigation. (Destroy 3 years after final resolution of the complaint or dispute.) N1-361-91-5

170.19 Potential Claim Files. Accident reports, investigation reports, attorney notes, correspondence, and similar documentation relating to potential claims. If actual claim is initiated, transfer file contents to appropriate litigation series. (Destroy after 6 years and 3 months.) N1-361-91-5

170.22 Novation Files. Forms, attorney notes, and correspondence relating to contractor ownership changes used to transfer legal obligations. (Destroy 6 years after completion of contract.) N1-361-91-5

170.25 Bid Mistake Allegation Files. Correspondence, determinations and findings, and similar records accumulated as a result of reviewing contractor allegations of mistakes in bids on procurement contracts. (Destroy 6 years after completion of contract.) N1-361-91-5

170.28 Court Contract Litigation. Case files consisting of litigation reports, court pleadings, motions, legal research memos, Department of Justice (DOJ) correspondence, agency correspondence, copies of contracts, decisions, transcripts of trial, transcripts of depositions of witnesses, court decisions, settlement agreements, withdrawal notices and related documentation used in contract litigation actions. (Destroy 6 years after final settlement.) N1-361-91-5

170.31 Administrative Contract Litigation. Case files consisting of witness lists, interview notes, pleadings, motions, affidavits, correspondence, hearing transcripts, copies of final decisions and related documentation used in administrative law proceedings, such as appearances before the Armed Services Board of Contract Appeals. (Destroy 6 years after case closing.) N1-361-91-5

170.34 Other Litigation. Case files relating to the processing of tort claims, personnel actions, and other such litigation related to matters other than contracts. (Destroy 6 years after case closing.) N1-361-91-5

170.37 Bankruptcy Files. Notices, proofs of claim, DOJ correspondence, pleadings, reports/findings, judgments (court decision), cash collection vouchers, copies of check(s) received, and similar records relating to

contractor insolvencies and bankruptcies. (Destroy 6 years after remuneration received or final judgment, whichever is later.) N1-361-91-5

170.40 Agency Protest Files. Contracting Officer final decision papers, protest documents, attorney notes, correspondence, protest decision papers, and similar records used to support Agency legal position relating to contract award protests. (Destroy 6 years after final action.) N1-361-91-5

170.43 GAO Protest Files. Notices, logs, reports, GAO conference transcripts and comments, pleadings, GAO decisions, requests for reconsideration, record of attorney costs, case confirmations, and similar records used to support Agency legal position relating to contract award protests filed with GAO. (Destroy 6 years after final settlement of the claim.) N1-361-91-5

170.46 Contract Fraud Files. Report of fraud, referral letters, conversation records, investigative reports, conclusions/recommendations, synopsis, research material, and related records pertaining to matters of potential contract fraud, improper conduct, violations of conflict of interest laws, and similar matters. When such cases result in litigation, use 170.28, Court Contract Litigation, or other applicable litigation series. (Destroy after 6 years.) N1-361-91-5

170.49 Debarment, Suspension Files. DFARS Report from field, copies of indictments (including evidence), conversation records, memoranda of decisions, copies of notices of suspension and debarment, correspondence, contractor replies, termination notices of suspension, judgement sheets, and similar records relating to debarred, ineligible, or suspended contractors. (Destroy 6 years after date of DFARS Report.) N1-361-91-5

170.52 Inventions Disclosure. Documents relating to inventions on which patent applications are not prepared. Such documents result from the disclosure of inventions by military personnel, civilian employees of the Government, and from research and development under DoD contracts.

170.52A HQ DLA Office of Counsel. (Destroy after 26 years.) NN-168-94

170.52B Other activities. (Destroy after 7 years.) NN-168-94

170.55 Patent Case Files. Documents relating to actions involving the acquiring of patent rights of inventions. (Destroy after 26 years.) NN-168-94

170.58 Patent Licenses and Assignments. Documents concerning licensing and assignment arrangements for use of patents owned by non-governmental organizations or individuals, including clearances to procure licenses or assignments; and consisting of correspondence on license negotiations, requests for clearance, license agreements, reports submitted under the terms of the license, and similar papers. (Destroy after 26 years.) NN-168-94

170.61 Patent Infringement. Documents concerning the potential or actual infringement of patent rights or measures taken to preclude such infringement. (Destroy after 26 years.) NN-168-94

170.64 Patent Royalties. Documents concerning contractor royalty reports and refund or adjustment of reported royalties. (Destroy after 10 years.) NC-361-75-1

170.67 Copyrights. Documents relating to the copyrighting of material, the obtaining of permission to use copyrighted material, or the infringement of a copyright. (Destroy after 56 years.) NN-168-94

170.70 Financial Interest Statements. Confidential and public statements of affiliations and financial interests and related records. (Destroy after 6 years; except that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.) GRS 1, Item 24b

170.73 Ethics and Standards of Conduct Files. Formal opinions, correspondence, training materials, program ideas, technical materials, tracking/control mechanisms, and related records used to inform DLA personnel of their ethical and standards of conduct responsibilities. (Destroy when obsolete or superseded.) N1-361-91-5

170.76 Legal Assistance. Correspondence, memoranda, attorney opinions, and similar records accumulated as a result of providing legal advice and assistance

to military personnel and their dependents. (Destroy 1 year after completion of case except legal instruments withdrawn for use as precedents may be held until no longer needed for reference.) N1-361-91-5

170.79 Military Justice. Documents relating to military justice such as investigations of alleged offenses, copies of documents furnished to Military Services regarding offenses, and similar material. Excludes non-judicial punishment records that should be filed in 310.25, Non-judicial Punishment. (Destroy after 6 years.) N1-361-91-5

INTERNAL REVIEW

180 INTERNAL REVIEW. Relates to the conduct of independent appraisals of operations, determining the effectiveness of internal control procedures for various programs and operations, and resultant reports to the Commander.

180.10 Internal Review Policies and Procedures. Documents pertaining to policies and procedures for conducting internal reviews of functional areas. (Destroy when superseded, obsolete, or when no longer needed for reference.) N1-361-90-02

180.20 Internal Review Working Papers. Documents relating to audit programs, administrative time controls, interview notes, flowcharts, results of analysis, spreadsheets, and draft reports used for background information in preparation of final survey reports, and for development of follow-up reviews of recommendation implementation. (Destroy after recommendations have been implemented or follow-up reviews have been completed, whichever is later.) N1-361-90-02

180.30 Internal Review Case Files. Documents reflecting results of internal audits of program operations and procedures, audit survey reports, follow-up reviews of management actions, staff summary sheets, and related correspondence used to review internal control systems, determine systems adequacy, policy compliance, resource safeguards, and economic and efficient management. (Destroy after 10 years.) N1-361-90-02

PUBLIC AFFAIRS

190 PUBLIC AFFAIRS. Relates to DLA public affairs programs and activities designed to provide information about DLA activities. Includes information released to the public, participation in community relations programs, and similar actions dealing with positive public relations, as well as internal information programs concerning DLA employees.

190.01 Public Affairs Program/Project Files. Records related to the formulation, management, administration and execution of individual public affairs programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-90-3

190.02 Public Affairs Correspondence Files. Records providing general direction, staff guidance and reporting in the management and administration of public affairs including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

190.02A HQ DLA. (Destroy after 2 years.) N1-361-90-3

190.02B Other activities. (Destroy after 1 year.) N1-361-90-3

190.10 Internal Information Publication Files. Consists of a Record Set of booklets, pamphlets, employee newspapers, and other similar informational documents published and issued by DLA. Official file copy is maintained by the preparing and issuing office.

190.10A HQ DLA Office of Public Affairs. (Permanent. Transfer to the National Archives in 5-year blocks when 30 years old.) N1-361-90-3

190.10B Other activities. (Destroy when no longer needed for reference.) N1-361-90-3

190.11 Internal Information Background Files. Correspondence and related records pertaining to the operation of the activity internal informational program. (Destroy when no longer needed for reference.) N1-361-90-3

190.20 Public Affairs Releases. Records relating to the release of information to the public through various media that pertain to new agency programs or termination of old agency programs, major shifts in policy, changes in senior personnel, and similar documents. Includes news releases, articles, speeches, testimonies, audiovisual, television, and radio productions.

190.20A HQ DLA Office of Public Affairs. (Permanent. Transfer to the National Archives in 5-year blocks when 30 years old.) N1-361-90-3

190.20B Other activities. (Destroy when no longer needed.) N1-361-90-3

190.21 Clearance Files. Records relating to clearance of speeches, articles, testimonies, audiovisual productions, and other informational material prior to release to the public. (Destroy after 2 years.) N1-361-90-3

190.22 Public Inquiry Files. Records relating to inquiries from the media, organizations, and the general public concerning DLA, including documentation developed to coordinate responses. (Destroy after 1 year.) N1-361-90-3

190.24 Biography Files. Biographies, photographs, and related documents pertaining to leading military and civilian personalities used to provide information to various public organizations and groups. (Destroy 2 years after retirement, transfer, separation, or death of the person concerned.) N1-361-90-3

190.30 Community Relations Files. Records relating to planning and promoting activities to establish and maintain relations with local community, civic, and trade organizations. (Destroy after 1 year or when superseded or obsolete.) N1-361-90-3

190.31 Special Events. Records relating to participation in public ceremonies and affairs such as parades, public displays, observances of local and national holidays, and comparable events. (Destroy after 2 years.) N1-361-90-3

190.32 External Information Publication Files. Informational material of various types distributed to trade and special-interest organizations, contractor firms, and military customers. (Destroy when superseded or obsolete.) N1-361-90-3

190.40 Speech Files. Copies of official speeches delivered by DLA personnel, internally and externally. Includes related records created in the process of writing, editing, and clearing speeches.

190.40A Speeches delivered by Agency Director and Deputy Directors. (Permanent. Transfer to National Archives in 5-year blocks when 30 years old.) N1-361-90-3

190.40B Other speeches. (Destroy after 3 years.) N1-361-90-3

190.41 Speech Reference Files. Source material for speeches consisting of background material from varied sources. (Destroy when no longer needed for reference.) N1-361-90-3

PLANNING AND RESOURCE MANAGEMENT

210 PLANNING AND RESOURCE MANAGEMENT. Relates to functions of planning and resource management. Includes financial management (programming, budgeting, resourcing, and administration of resources, including financial liaison); the DLA Management Information Systems (MIS); mission and organization management; productivity improvement; contingency and strategic planning; and programs for internal management control, commercial activities (CA), Defense Regional Interservice Support (DRIS), and Employee Suggestion Program.

210.01 Planning and Resource Management Program/Project Files. Documents related to the formulation, management, administration and execution of individual Planning and Resource Management programs/projects such as plans, studies and analyses, reports, letter guidance and direction, and related

documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-92-03

210.02 Planning and Resource Management Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of planning and resource management matters such as interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

210.02A HQ DLA. (Destroy after 2 years.) N1-361-92-03

210.02B Other activities. (Destroy after 1 year.) N1-361-92-03

212 MANAGEMENT AND BUDGET. Relates to the development and implementation of policies and objectives pertaining to the activity budget and the Program Objective Memorandum (POM), the DLA MIS, the Defense Integrated Management Engineering System (DIMES), mission and organization management, productivity improvement and employee suggestions.

212.10 Defense Business Operations Fund (DBOF) Budget Development. Program budget decisions, justifications, call letters, narratives, budget formats, DLA projected guidance, inflation rates and related correspondence and materials used in the development, preparation, formulation, justification and execution of the DBOF budget. (Destroy after 5 years.) N1-361-92-03

212.12 DBOF Annual Operating Budget. Unit cost goals, obligations, analyses, letters requesting changes in goals, related correspondence and backup materials used to establish the annual DBOF budget. (Destroy after 5 years.) N1-361-92-03

212.14 Standard Pricing. Standard price bulletins and related standard price information related to National Stock Numbers, spreadsheets, and related correspondence used to establish and review standard unit prices for DBOF items, and evaluate actual DBOF costs and trends. (Destroy after 5 years.) N1-361-92-03

212.16 DBOF Operational Integrity. Charts tracking planned/actual costs, monthly cost letters, spreadsheets, analyses, reports of expenses, change requests, related correspondence and backup materials used to determine adequacy of pricing and surcharges, and evaluate DBOF operational variances and trends. (Destroy after 5 years.) N1-361-92-03

212.18 DBOF Inventory Transactions. Inventory reports, computer printouts, journal voucher summaries, and related correspondence used to analyze financial results of inventory transactions and initiate corrective actions. (Destroy after 5 years.) N1-361-92-03

212.20 DBOF Operating Performance. Printouts, spreadsheets, journal vouchers, trial balances, performance summaries, letters, correspondence and other inventory and financial data materials used to conduct analyses of operating performance of DBOF operations. (Destroy after 5 years.) N1-361-92-03

212.30 Activity Budget Administration. Copies of Annual Operating Budget (AOB) documents, fund authorizations, service orders, fund transfer vouchers, instructions, guidance, notices, messages, related correspondence and backup materials used to administer the activity budget. (Destroy 2 years after end of fiscal year.) GRS 5, Item 1

212.32 Budget Expenditures. Copies of reimbursement claims, special equipment requests, travel orders, correspondence and related materials used to track and control expenditures during budget year. (Destroy 1 year after close of the fiscal year.) N1-361-92-03

212.34 Contracted Advisory Assistance Services (CAAS) Studies. CAAS studies, copies of purchase orders, requests, and related backup materials. (Destroy after 3 years.) N1-361-92-03

212.36 Budget Histories. Year-end closeout reports, general ledger account and cost/obligation reports, Monthly Management Reviews (MMR), manpower summaries, and related budget history data used for reference purposes in trend

development, special studies and reports, development of statistical data, and similar uses. (Destroy 3 years after end of the fiscal year.) N1-361-92-03

212.38 Resource Allocation. Quarterly fund authorizations, Advice of Obligation Authority forms, status of operating budget and tracking documents, revised budgets, program papers, and related correspondence used to allocate financial resources to activity and subordinate field activity managers. (Destroy 2 years after the close of the fiscal year.) N1-361-92-03

212.40 Reimbursement Files. Billings, detail man-hour/labor data and related cost data pertaining to reimbursements. (Destroy 2 years after end of fiscal year.) N1-361-92-03

212.60 Master Account Record (MAR). Transcript sheets, facsimile records, correspondence, and copies of MAR printouts used to administer the activity Master Account Record.

212.60A Fiscal Yearend MAR Printout and Backup Materials. (Destroy after 2 years.) N1-361-92-03

212.60B Monthly MAR Printouts and Backup Materials. (Destroy when superseded.) N1-361-92-03

212.62 Productivity Improvement Program (PIP). Man-hour and cost data, studies, reports, correspondence and other statistical data and materials used to develop and identify performance measurement indicators relating to Total Quality Management (TQM) and unit cost theories for implementation of the PIP program. (Destroy when no longer needed for reference.) N1-361-92-03

212.64 Organization, Mission and Functions Manual Development. Coordination forms, input recommendations, correspondence and related backup materials used in the development and preparation of the activity organization, mission and functions manual.

212.64A HQ DLA. (Permanent. Transfer to National Archives in 5-year blocks when 20 years old.) N1-361-92-03

212.64B Other activities. (Destroy after 10 years or when superseded, obsolete, or no longer needed for reference, whichever is sooner.) N1-361-92-03

212.66 Organization and Functions Evaluations. Correspondence; studies; analysis, progress, and other (DoD IG Inspection and Audit, and GAO) reports and related backup materials; developed policies, procedures, and techniques used to evaluate effectiveness and efficiency of activity mission assignments, organization, and functions including unit cost.

212.66A HQ DLA.

212.66A(1) DoD IG Inspection and Audit, and GAO Reports. (Permanent. Transfer to National Archives when 5 years old.) N1-361-92-03

212.66A(2) All others. (Permanent. Transfer to National Archives in 5-year blocks when 20 years old.) N1-361-92-03

212.66B Other activities.

212.66B(1) DoD IG Inspection and Audit, and GAO Reports. (Destroy after 5 years.) N1-361-92-03

212.66B(2) All others. (Destroy after 10 years or when superseded, obsolete, or no longer needed for reference, whichever is sooner.) N1-361-92-03

212.68 Activity Mission Changes. Standard organization documents, recommendations for change, and related guidance and correspondence used to furnish activity staff leadership and advice in coordinating the development of organizational plans for implementing changes in activity mission.

212.68A HQ DLA. (Permanent. Transfer to National Archives in 5-year blocks when 20 years old.) N1-361-92-03

212.68B Other activities. (Destroy after 10 years or when superseded, obsolete, or no longer needed for reference, whichever is sooner.) N1-361-92-03

212.70 Base Realignment and Closure Commission (BRAC) Files. Briefing materials, agendas and minutes of executive group meetings, staff studies, program evaluations, data call responses, system documentation, analyses and comparisons, staff reports, internal and external audit results, copies of

reports forwarded to higher headquarters, correspondence, background materials, and other directly related material pertaining to the agency's recommendations to the DoD Base Realignment and Closure Commission.

212.70A HQ DLA. (Permanent. Transfer to the National Archives when 30 years old.) N1-361-93-7

212.70B Other activities. (Destroy after 5 years or when no longer needed for reference, whichever is later.) N1-361-93-7

212.72 General Orders. Copies of General Orders and related correspondence, coordination forms, and related documents used to develop and issue all General Orders.

212.72A Record copies of general orders published by orders issuing authority, including background material filed at HQ DLA and Primary Level Field Activities. (Permanent. Transfer to the National Archives in 5-year blocks when 30 years old.) N1-361-92-03

212.72B Other offices. (Retain only those orders pertaining to their respective elements. Destroy when superseded or obsolete.) N1-361-92-03

212.74 Special Studies. Special management studies, surveys, research and analyses, review actions, and related backup materials accumulated as a result of identifying and resolving problems. (Destroy when no longer needed for reference.) N1-361-92-03

212.76 Management Improvement Projects. Documents relating to specific proposals or projects to improve or simplify the manner or method of planning, directing, controlling, or doing work such as proposals for improvement, flow process charts, work counts, motion economy studies, layout studies, procedures, drafts, and action taken on proposals. (Destroy after 5 years.) N1-361-76-8

212.78 Performance Analysis System. Documents establishing work units and performance analysis system reportable items for each activity within an installation or command. Included are functional statements, work descriptions, work measurement unit definition, comparison statements, and supporting background data. Also included are retained copies of reports forwarded to higher headquarters that reflect the status and change of reportable items within the program. (Destroy after 5 years or when superseded, obsolete, or no longer needed for reference, whichever is sooner.) NN-168-94

212.80 Employee Suggestion Program. Suggestion forms, related awards, correspondence and backup materials used in the management of the Employee Suggestion Program and in the review of proposals and development of recommendations for approval/disapproval.

212.80A Documents pertaining to overall policy, procedures and administration of the Employee Suggestion Program.

212.80A(1) HQ DLA. (Destroy after 5 years.) N1-361-92-03

212.80B(2) Other activities. (Destroy when superseded, obsolete, or no longer needed for reference. N1-361-92-03

212.80B Proposals, case files, reports and supporting documents.

212.80B(1) HQ DLA and PLFA Suggestion Managers. (Destroy 3 years after disapproval, completion of testing, or permanent implementation, as applicable.) N1-361-92-03

212.80B(2) Other activities. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-92-03

212.82 Organization Modeling Program (OMP). Printouts, instructions, letter guidance, and related correspondence and backup materials used to manage the activity OMP and maintain current data for authorized positions. (Destroy after 2 years.) N1-361-92-03

212.84 Military Position Requirements. See 310.13, Informational Personnel Records.

214 PLANS AND PROGRAMS. Relates to the development and implementation of policies and objectives relating to contingency and strategic planning, internal management controls, Commercial Activities (CA) and similar programs.

214.10 Mobilization Plans (Other Agencies). Mobilization plans of higher headquarters and other DoD activities. (Destroy when superseded or canceled, or dispose of in accordance with instructions of the originator, as appropriate.) NC-361-75-3

214.15 War and Emergency Support Planning. Plans, policies, procedures, and correspondence relating to preparedness measures taken for general war, limited war, contingencies, domestic emergencies, mobilization, and similar activities. Includes the DLA Basic Emergency Plan (BEP) and the Field Activity Basic Emergency Plans (FABEPs).

214.15A HQ DLA. (Permanent. Retain in current files area for 3 years, then transfer to Federal Records Center. Transfer to the National Archives after 10 years in FRC.) NC1-361-76-5

214.15B Other offices. (Destroy when superseded, obsolete, or no longer needed for planning or emergency purposes.) NC1-361-76-5

214.17 Situation Report (Sitrep) Files. Copies of sitreps, messages, facsimile transmissions, fact sheets, records of actions, status sheets, maps, and other related documents used to monitor status of special situations or events.

214.17A Sitreps that impact on-going actions or are recurring, includes classified and unclassified crisis action operations. (Destroy 2 years after no further action is required or when no longer needed for reference, whichever is later.) N1-361-93-8

214.17B Sitreps that deal with routine field and HQ issues, includes daily or weekly updates. (Destroy when no longer needed for reference.) N1-361-93-8

214.20 Emergency Tests and Exercises. Documents accumulated as a result of testing various emergency plans, including announcement of tests to be conducted, instructions to participants, staffing assignments, messages, documents reflecting simulated situations and actions critique sheets, reports and similar documents. Includes exercise directives, instructions, and other documents related to exercises.

214.20A HQ DLA. (Destroy after 3 years.) GRS 18, Item 28

214.20B Other offices. (Destroy when superseded, obsolete or no longer needed for planning and emergency purposes.) N1-361-92-03

214.35 Strategic Planning. Relates to long-range planning information that is intended to provide direction for the Agency in providing logistics and other support and services.

214.35A HQ DLA Strategic Plan.

214.35A(1) HQ DLA. (Permanent. Transfer to National Archives in 5 year blocks when 20 years old.) N1-361-92-03

214.35A(2) Other offices. (Destroy when superseded or no longer needed for reference.) N1-361-87-1

214.35B PLFA Strategic Plans.

214.35B(1) PLFA Commanders. (Permanent. Transfer to NARA in 5 year blocks when 20 years old.) N1-361-87-1

214.35B(2) Other offices. (Destroy when superseded or no longer needed for reference.) N1-361-87-1

214.40 Program Review and Analysis. Documents created in the process of review and analysis of progress in program accomplishment, including progress reports, cost and performance reports, statements of analysis, summaries, directed actions, and other documents which reflect actual performance, progress, accomplishments, deficiencies and problems in relation to program goals.

214.40A HQ DLA. (Permanent. Transfer to the National Archives in 5-year blocks when 30 years old.) NC1-361-76-5

214.40B Other offices. (Destroy after 10 years.) NC1-361-76-5

214.41 Internal Control Reports. Annual reports and assurance statements created by organizational components below the agency level, and compiled by the agency into a single unified report for direct submission to the President and Congress. (Cut off closed files annually. Destroy after next reporting cycle.) GRS 16, Item 14d

214.42 Management Control Plans. Comprehensive plans pertaining to scheduling and status of risk/vulnerability assessments and management control reviews. (Destroy when superseded.) GRS 16, Item 14c

214.43 Internal Management Control Reviews. Correspondence, reports, action copies of audit findings, management control review findings, and other records that identify program internal control weaknesses, and corrective action taken to resolve such problems. Includes alternative internal control reviews identified in the management control plan. (Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.) GRS 16, Item 14f(1)

214.44 Internal Control Risk/Vulnerability Assessments. Copies of reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions. (Cut off closed files annually. Destroy after next review cycle.) GRS 16, Item 14c

214.45 Memorandums of Policy and Joint Staff Memorandums. Documents relating to both numbered and unnumbered Memorandums of Policy and Staff Memorandums, including comments establishing DLA positions. (Destroy when superseded, obsolete, or no longer needed for reference.) NC1-361-77-1

214.50 Joint Chief of Staff (JCS) Notes and Reports. Documents relating to both numbered and unnumbered notes and reports provided either by or to JCS staff elements. Includes comments and staffing notes establishing a DLA position on the paper. (Destroy after 3 years or when superseded, obsolete, or no longer needed for reference, whichever is sooner.) NC1-361-77-1

214.55 DLA Council Actions. Documents relating to the establishment, functions, agenda, minutes, recommendations, and other official actions of the DLA Council including significant background and supporting documents accumulated and/or created by the Council in fulfilling its mission relative to program review and analysis.

214.55A HQ DLA. (Permanent. Transfer to the National Archives in 5-year blocks when 30 years old.) NC1-361-76-5

214.55B Other offices. (Destroy after 10 years.) NC1-361-76-5

214.65 Commercial Activity (CA) Program Documentation. Documents accumulated in the initiation, analysis and implementation of the CA Program including performance work statements and cost comparison studies.

214.65A Documents pertaining to overall policy, procedures and administration of the CA Program.

214.65A(1) HQ DLA Commercial Activity Program Office. (Permanent. Transfer to the National Archives in 5-year blocks when 20 years old.) NC1-361-84-6

214.65A(2) Other offices. (Destroy when superseded, obsolete, or no longer needed for reference.) NC1-361-84-6

214.65B Case files containing performance work statements, cost comparison studies, and other related documents for specific studies. (Destroy 5 years after completion of study or on completion of a following study whichever is later.) NC1-361-84-6

214.70 Interagency and Inter/Intraservice Agreements. Policy and procedures relating to interservice support agreements; interagency agreements; memoranda of understanding; and similar formal documentation covering transfer or use of real property and facilities; supply management relationships; procurement and production agreements negotiated both at Headquarters and field levels; and cross-servicing agreements between DLA and the owning Military Service governing receipt, storage, and shipment of DLA supply items at depots. Excludes budgeting and financial responsibility agreements which will be filed under 400.20 and

information copies of agreements which should either be filed under file number 110.70 or, if directly related to an action case, then filed functionally with the case.

214.70A Inter/Intraservice Agreements.

214.70A(1) DLA activities executing agreements. (Destroy 10 years after supersession or expiration of agreement.) N1-361-92-03

214.70A(2) Other offices. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-76-8

214.70B Interagency Agreements. (Destroy when superseded obsolete, or no longer needed for reference.) N1-361-92-03

216 ACCOUNTING AND FINANCE LIAISON. Relates to maintaining records of financial transactions in DLA accounting and finance systems; for resolution of issues and dissemination of information involving the Defense Finance and Accounting System (DFAS).

216.10 Individual Authorized Allotment Files. Copies of individual employee applications authorizing/canceling payroll changes to wages such as direct deposit, bonds, allotments, charity contributions, and directly related papers.

216.10A Authorization for Purchase and Request for Change United States Series EE Savings Bonds, SBD Form 2104, or previously superseded forms. (Destroy when superseded or after separation of employee.) GRS 2, Item 14a

216.10B Authorization for individual allotment to the Combined Federal Campaign. (Destroy after GAO audit or when 3 years old, whichever is sooner.) GRS 2, Item 15a

216.10C Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan. (Destroy when superseded or after separation of employee.) GRS 2, Item 16

216.10D Other authorizations such as union dues and savings. (Destroy after GAO audit or when 3 years old, whichever is sooner.) GRS 2, Item 15b

216.10E Direct Deposit Sign-up Form (SF 1199A). (Destroy when superseded or after separation.) GRS 2, Item 17

216.20 Withholding Tax Exemption Certificates. Copies of individual employee's Internal Revenue Service (IRS) Forms W-4, and similar state tax exemption forms. (Destroy 4 years after form is superseded or obsolete or upon separation of employee.) GRS 2, Item 1a

216.30 Certification/Obligation Files. Copies of contracts, commitment documents, travel claims, Military Interdepartmental Purchase Requests (MIPRs), and similar funding documents used to certify fund availability and to record commitment and obligations data for supported activities and organizations. (Destroy after 3 years.) N1-361-92-03

216.40 Payroll Transaction Registers. Printouts containing record of payroll changes input into Automated Payroll, Cost, and Personnel System (APCAPS) maintained to verify input accuracy. (Destroy after 1 year.) N1-361-92-03

216.50 Accounting Transaction Registers. Printouts containing record of daily accounting transactions input into APCAPS system and subsystems and maintained to verify input accuracy. (Destroy after 3 months.) N1-361-92-03

216.60 Monthly Management Reports. Copies of monthly APCAPS reports pertaining to un-liquidated obligations, undelivered orders, and un-obligated commitments used for research and verification purposes. (Destroy after 1 year.) N1-361-92-03

216.70 Military Manpower Report. Copies of APCAPS reports containing records of military personnel authorized to certify on-line. (Destroy after 3 months.) N1-361-92-03

217 LOGISTICS SYSTEMS. Relates to DoD logistics systems, standards, and programs.

217.10 Logistics Systems Management. Improvement studies, evaluations, analyses, system changes, procedures, and related correspondence and backup materials used in the development and administration of DoD logistics systems, standards, and programs. (Destroy after 5 years.) N1-361-93-5

217.20 Logistics Systems Committee Files. Records accumulated as a result of the operation of committees, such as Process Review Committees, established to review and resolve issues concerning the development, implementation, and maintenance of various DoD logistics functional areas. (Destroy after 5 years.) N1-361-93-5

INTERNATIONAL PROGRAMS

220.01 International Program/Project Files. Documents related to the formulation, management, administration and execution of individual International program/projects such as plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-94-3

220.02 International Programs Correspondence Files. Documents providing general directions, staff guidance and reporting in the management and administration of International Programs matters such as interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

220.02A HQ DLA. (Destroy after 2 years.) N1-361-94-3

220.02B Other activities. (Destroy after 1 year.) N1-361-94-3

220.10 International Agreements. Correspondence, coordinations, staff summary sheets, analyses and related backup used to maintain a repository of all International Programs Memoranda of Agreements and Understanding and to provide official Agency response to customers in the U.S Government international community. (Destroy 5 years after expiration of agreement.) N1- 361-94-3

220.20 International Community Liaison. Non-program specific correspondence, trip reports, and other materials used to direct the liaison, integration, and coordination with the U.S. Government International Community and to collaborate foreign customer needs with the DLA business areas. (Destroy after 3 years.) N1-361-94-3

220.30 NATO Mutual Support Act (NMSA) Files. Copies of agreements, program directives, messages, correspondence and similar materials used to coordinate the Agency's participation with NATO and specifically the NATO Mutual Support Act. Includes similar records related to acquiring and providing logistic support and supplies for governments of authorized countries for deployed Armed Forces to include cross-servicing agreements and reciprocal arrangements. (Destroy 5 years after agreement is closed.) N1-361-94-3

220.40 International Programs Training. Copies of curriculums, faxes, meeting notes, correspondence, letters of agreement, analyses and study results, requirements determination, and related materials used to review and modify the Security Assistance curriculum at the Defense Institute for Security Assistance Management and other DoD/Service institutions. Includes records used to monitor security assistance training, coordinate foreign training, and conduct training on international logistics and security assistance.

220.40A HQ DLA. (Destroy after 3 years.) N1-361-94-3

220.40B Other offices. (Destroy after 2 years.) N1-361-94-3

220.50 Foreign Liaison. Copies of regulations, point papers, weekly reports, visit requests, correspondence, items unique to specific countries, and similar materials accumulated in connection with visits of foreign nationals to military installations and activities. Records are used to manage the DLA Foreign Liaison Program and to serve as, or provide, host for foreign visitors. (Destroy 3 years after approval.) N1-361-94-3

220.60 International Programs Information. Publications, pamphlets, regulations, correspondence and similar materials related to information systems of the Military Services. (Destroy after 3 years or when superseded, obsolete or no longer needed, whichever is later.) N1-361-94-3

220.70 Overseas Base Closure Files. Briefing materials, agendas and minutes of executive group meetings, staff studies, program evaluations, data call responses, system documentation, analyses and comparisons, staff reports, internal and external audit results, copies of reports forwarded to higher headquarters, correspondence, background materials, and other related material used to monitor press releases and disseminate information on overseas base closures. (Destroy 3 years after base closes.) N1-361-94-3

TELECOMMUNICATION AND INFORMATION SYSTEM

280 TELECOMMUNICATIONS AND INFORMATION SYSTEMS. Relates to the Automated Data Processing/Telecommunications (ADP/T) Program, plans, procedures, resources, automated information systems and office automation programs; operational execution of installed ADP/T systems and equipment, and the provision of ADP/T hardware/software technical support services.

280.01 Telecommunications and Information Systems Program/Project Files.

Documents related to the formulation, management, administration and execution of individual Telecommunications and Information Systems programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-1

280.02 Telecommunications and Information Systems Correspondence Files.

Documents providing general direction, staff guidance and reporting in the management and administration of Telecommunications and Information Systems including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-91-1

281 ADP/T HARDWARE/SOFTWARE TECHNICAL SUPPORT SERVICES. Relates to the development of plans and specifications, and acquisition of ADP/T hardware.

281.10 Mission Requirements and Specifications. Mission Analysis Requirement Documents (MARDs), economic analyses, developed specifications, sole source justifications, statements of work, schedules, lists of requirements, market surveys, and supporting documents developed in support of installation and activity ADP/T and support services for life cycle equipment maintenance and re-justification of software. (Destroy 1 year after termination of related maintenance contracts or when no longer needed for reference, whichever is later.) N1-361-91-1

281.17 Utility Program Development. Computer programs and supporting documents used to monitor system performance and perform common utility functions.

(Delete/destroy upon termination of the life of utility program.) N1-361-91-1

281.24 Product Documentation. Documents concerning individual software packages and technical systems problems or characteristics on commercial software.

(Destroy after terminating the use of the software.) N1-361-91-1

281.31 Troubleshooting Documentation. Technical and diagnostic analyses, trend analyses, and related material used to minimize system downtime. (Destroy when no longer needed for system operation or analysis.) N1-361-91-1

281.38 Standard DLA Utility and Telecommunication Software Documentation.

Software documentation provided by DLA Systems Automation Center (DSAC) to DLA activities for site processing. (Destroy when superseded or obsolete.) N1-361-91-1

281.45 Office Automation Hardware/Software Documentation. Site documentation for locally acquired office automation hardware/software. (Destroy when superseded or upon termination of the use of related hardware/software.) N1-361-91-1

281.52 Communications Interface Equipment. Vendor provided documentation, instruction manuals and literature pertaining to the installation and operation of communications interface equipment. Included are vendor or locally developed maintenance schedules, trouble reports and trouble logs. (Destroy upon disposal or replacement of equipment item.) N1-361-91-1

281.61 Capacity Planning and Management. Reports on trend or other analyses of various aspects of ADP/T operating systems used to determine future hardware/software requirements. (Destroy after 2 years.) N1-361-91-1

281.68 DLA Information Systems Performance Reports. Magnetic tapes containing machine generated, electronically transmitted/obtained data of input costs, time data, hardware/software utilization used to produce consolidated DLA quarterly reports and profiles or printouts of customer resource utilization. (Delete/destroy after 2 years.) GRS 20, Item 1c

281.75 Workload Capacity Studies. Workload studies, analyses, projections, models, workload reports and related backup materials used for development of proposals, recommendations and justification of procedures and system changes. (Destroy 3 years after implementation of recommendations.) N1-361-91-1

281.82 Teleprocessing Equipment Support. Work plans, user procedures and related documents produced for users of multiplexing devices, modems, remote job entry stations, terminals and similar teleprocessing equipment. (Destroy after equipment is removed or replaced by an updated version.) N1-361-91-1

281.91 Performance Management. Productivity counts, charts, statistical data, management goals, projections and related documentation used to determine functional performance of hardware/software. (Destroy after 2 years.) N1-361-91-1

282 AUTOMATED INFORMATION SYSTEMS MANAGEMENT. Relates to the design, development, and maintenance of automated information systems.

282.10 ADP Support Services. Data processing service requests, system change requests, flow charts, layouts, functional studies and related backup material required to develop system specifications, create or modify systems or programs. (Destroy 90 days after system or program use terminates.) N1-361-91-1

282.22 Data Set Definitions. Data set definition forms, and related backup material used as a basis for the development or change to system specifications, systems or programs. (Delete/destroy when superseded or upon job cancellation.) N1-361-91-1

282.24 Automated Information Systems Development. Computer job scheduling forms, copies of data set definitions, database management system documentation and program documentation checklists, flow charts, record layouts, program and job control language listings, file layouts, input/output samples, and data element dictionaries used in the design, development, programming and implementation of automated information systems. (Delete/destroy when superseded, canceled, or obsolete.) N1-361-91-1

282.36 Program Development Plan. Paper copies of locally produced Program Development Plan and supporting system generated files, time reporting systems, statistical data and work schedules used for implementation of developed systems modifications and changes. (Delete/destroy after 3 years.) N1-361-91-1

282.48 User Support. Locally produced user guides, data element dictionaries and related documents for distribution to customers. (Destroy when superseded or when system use is canceled.) N1-361-91-1

282.60 Systems Analysis. System design alternatives and related backup materials such as statistical data and reports of analysis used to formulate and present recommendations for various approaches in providing local ADP/T support. (Destroy after 3 years.) N1-361-91-1

282.72 Software Operational Tests. Work requests and customer signed acceptance copies of output products for new or modified applications software used to ensure operability and record acceptance of software as requested by customers. (Destroy when superseded, or software use is cancelled.) N1-361-91-1

282.84 Automated Systems Performance Standards. Data processing service requests used to develop, establish and monitor performance standards for locally developed automated information systems. (Destroy after 3 years or upon system modification or cancellation, whichever is sooner.) N1-361-91-1

283 ADP/T ADMINISTRATION AND CONTROL. Relates to general administration of ADP/T policies, programs, technical plans, procedures, and resource management.

283.10 ADP/T Equipment Inventories. Contract forms received from vendors, hand receipts, and related documents used to control and account for purchased equipment. (Destroy when superseded, obsolete, or no longer needed.) N1-361-91-1

283.50 Reports Control. Documents, forms and related materials used for the management and control of agency information requirements. (Destroy 1 year after discontinuance of report.) N1-361-91-1

284 ADP/T COMPUTER AND COMMUNICATIONS OPERATIONS. Relates to activities associated with the operation and maintenance of activity computer and communications facilities.

284.10 ADP/T Operations. Records relating to the operation of the activity ADP/T, locally and at remote locations, such as shift work assignment logs. (Delete/destroy after 1 year.) N1-361-91-1

284.13 ADPE Site Plans. Records relating to the formulation, development, and coordination of site plans for the installation or relocation of ADP/T equipment. Includes post-equipment installation reviews. (Destroy after 3 years.) N1-361-91-1

284.16 ADPE Site Environment. Records relating to monitoring of environmental control systems such as daily temperature log. (Destroy after 3 months.) N1-361-91-1

284.19 ADPE Utilization and Maintenance. Records relating to the use, including downtime, of computer systems such as operational logs and statistical records, includes listing of in-house maintenance requests. (Destroy after 1 year.) N1-361-91-1

284.22 ADPE Maintenance. Records relating to the scheduling and control of contractor ADP/T equipment preventive and remedial maintenance. Includes items such as summaries of remedial maintenance listed by vendor, vendor tickets for work performed, minutes from vendor meetings. (Destroy after 3 years.) N1-361-91-1

284.25 Magnetic Media. Records relating to the operation, maintenance, and control of magnetic media (tapes, disks, and diskettes). (Delete/destroy when superseded, obsolete, or no longer needed for reference.) GRS 20, Item 1c

284.28 Source Documentation. Logs and files documentation of completed end-user products. (Destroy when superseded or obsolete.) N1-361-91-1

284.31 Off-line Printing. Records relating to the off-line printing (xerox and micrographic) of computer-generated output products. (Destroy after 1 year.) N1-361-91-1

284.34 Automated Information Systems (AIS) Testing. Records relating to the testing of newly designed and/or modified AIS. (Delete/destroy when superseded, obsolete, or no longer needed for reference.) N1-361-91-1

284.37 System Scheduling Standards. Records relating to the development and implementation of standards for use between applications systems and ADP/T work stations. (Destroy when no longer needed for reference.) N1-361-91-1

284.40 Master Files for Automated Information Systems. Master data files for major automated information systems representing the definitive state of a data file at a given time. (Note: For on-line systems, these standards apply to periodic backup files maintained for the system.)

284.40A Automated Payroll, Cost, and Personnel System (APCAPS). Automates the labor intensive areas of the Office of Civilian Personnel and Comptroller. Consolidates DLA payroll issues, trial balance and USAFAC Reports, cost accounting, manpower reporting. Automates, maintains and tracks grievances and employee assistance data. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-89-5

284.40B Base Operations Support System (BOSS). Through integrated files, automates base supply; inventory control, stock funds; financial accounting, demand data, shipping and supply management. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-89-5

284.40C Defense Reutilization and Marketing Automated Information System (DAISY). Property accounting, statistics, reutilization and disposal of excess military property, management information. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-89-5

284.40D Defense Industrial Plant Equipment Center (DIPEC). Industrial Plant Equipment screening and control; display information. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-89-5

284.40E Defense Integrated Subsistence Management System (DISMS). Materiel management: supply, contracting, warehousing, transportation. Worldwide wholesale food management. Perishable subsistence, non-perishables, distribution, procurement, direct commissary support, financial. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-89-5

284.40F Distribution Standard system (DSS). Replaces DLA Warehousing and Shipping Automated System (DWASP/MOWASP). Standardizes DoD warehouse distribution systems. Supports distribution management and workload control; performs equipment interface and control; handles all aspects of warehouse materiel movement. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-97-3

284.40G Mechanization of Contract Administrative Services (MOCAS). Provides contract administration and quality assurance support to Defense Contract Management Districts (DCMDs). Obligations, disbursements, funds status, contract inventories, contract status, shipments, deliveries, invoices. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-89-5

284.40H Standard Automated Materiel Management System (SAMMS). Inventory, materiel requests, positioning assets, forecasting demand, purchases, record maintenance, financial billing, contracting, payments, cataloging, management information. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-89-5

284.40I Defense Fuels Automated Management System (DFAMS). Supply operations, comptroller processes, procurement and production. Technical functions to support fuel operations. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-89-5

284.40J Federal Logistics Information System (FLIS). Renames Defense Integrated Data System (DIDS). Receives, validates, stores, controls, processes, generates and disseminates Federal Catalog System and related item management data. Logistics data management. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-89-5

284.40L Defense Automatic Addressing System (DAAS). Automates routing logistics data traffic and provides DoD Components with logistics information. On-line logistics, communications, document routing, history, sales processing. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-97-3

284.40M DLA Pre-Award Contracting System (DPACS). Standard Automated Materiel Management System (SAMMS) subsystem. Supports all activities (purchase request

management, pre-solicitation evaluation, solicitation, document production, bid/quote entry and award choice, award documentation, referrals, vendor inquiry and maintenance, policy maintenance, and contract folder archiving) associated with developing, reviewing, approving and issuing solicitation and award documents. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-97-3

284.40N Joint Engineering Drawing Management Information and Control System (JEDMICS). Replaces DLA's existing aperture card system. Standard DoD repository system to digitize, store, retrieve, and reproduce technical/engineering data. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-97-3

284.400 Standard Procurement System (SPS). Provides standardized data, policies and procedures for DoD procurements and contract administration. Procurement functions include purchasing, renting, leasing, or otherwise obtaining supplies and services. Procurement includes description (but not determination) of supplies or services required, selection and solicitation of sources, preparation and award of contracts, and issuance of modifications. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-97-3

284.43 Processing Files for Automated Information Systems. Automated data processing files other than master files, such as work and input files, used in the operation of automated information systems and not required for evidential purposes. (Erase after 3 update cycles, or when no longer required for system operation, whichever is sooner.) N1-361-89-5

284.46 Communications Equipment. Records relating to operation of DLA Teleprocessing Network (DLANET) nodal point (NODE) equipment such as schematics. (Destroy when superseded or obsolete.) N1-361-91-1

284.49 ADP/T Physical Security. Records relating to implementation and compliance with physical security requirements.

284.49A Sign-in logs. Form used as a record of entry to Computer Room. (Destroy after 1 year.) N1-361-91-1

284.49B Access list. Posted listing of individuals allowed access to Computer Room. (Destroy when superseded or obsolete.) N1-361-91-1

284.49C Lock combination. Up-to-date record of door combination. (Change as required; retain previous combination for 1 year and destroy.) N1-361-91-1

284.52 Telecommunications. Records relating to activity telecommunications support such as Communications Service Authorizations (CSAs), Commercial Communications Work Orders (CCWSs), and Feeder Telecommunications Service Requests (TSRs). (Destroy after 90 days.) N1-361-91-1

284.55 TEMPEST Program. Records relating to the certification and execution of program requirements. (Destroy when equipment requirement ceases.) N1-361-91-1

284.58 Message Records. Copies of the incoming/outgoing messages maintained in the Communications Center. Note: Other offices will file record copies under appropriate functional file numbers in the same manner as correspondence. (Destroy after 30 days.) N1-361-91-1

284.61 Traffic Reports. Reports that reflect the volume of messages handled. (Destroy after 1 year.) N1-361-91-1

284.64 Message Releasing/Receipting Officials. Documents that reflect the names and signatures of authorized message releasing officials and/or of individuals authorized to receive classified messages. (Destroy when superseded or obsolete.) N1-361-91-1

284.67 Courier Designation. Registers and related documents that reflect the classification, name, SSN, and signature of individuals appointed to pickup and deliver messages. (Destroy after 1 year unless canceled sooner.) N1-361-91-1

284.70 Communications Security (COMSEC) Material Accounting Records. Inventories, transfer reports, destruction reports, package/voucher registers,

hand receipts, and related documents. (Destroy as described in certificate of accounting records clearance.) N1-361-91-1

284.73 COMSEC Command Inspections. Command inspection reports and related COMSEC account records. (Destroy on receipt of a succeeding report, or on inactivation of the facility, whichever is sooner.) N1-361-91-1

284.76 Record of Custodian. Letter designating COMSEC Custodian. (Destroy 1 year after assumption by a new custodian.) N1-361-91-1

284.79 COMSEC Custodian's Inspections. Inspections conducted by COMSEC Custodian on a semiannual basis. (Destroy after Command annual inspection is performed.) N1-361-91-1

284.82 Incident (Compromise) Files. Reports of compromises, involving personnel, cryptologics and physical insecurities of COMSEC material. (Destroy closed incident file after 2 years.) N1-361-91-1

284.85 Telephone Cost Data. Requisitions for telephone services, copies of telephone equipment and service invoices used to determine costs of services to be provided, verification of work order accuracy and tracking of telephone expenses. (Destroy after 1 year.) N1-361-91-1

284.88 Telephone Maintenance. Itemized lists of telephone equipment and services being provided by telephone companies used to verify monthly billings. (Destroy 1 year after audit or when 3 years old, whichever is sooner.) N1-361-91-1

284.89 Telephone Use (Call Detail) Records. Initial reports of use of telephone lines (e.g., telephone calls, facsimile transmissions, and electronic mail) during a specified period provided by a telephone company, the General Services Administration, the Defense Information Systems Agency, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative follow-up. Included is such information as the originating number, destination number, destination city and state, date and time of use, duration of the use, and the estimated or actual cost of the use. EXCLUDED are records accumulated in connection with substantive investigations and audits. (Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records.) GRS 12, Item 4

284.91 Telephone Locator Service. Telephone change order forms used for updating local and area telephone directories. (Destroy after 1 year, or when superseded, obsolete, or no longer needed, whichever is sooner.) N1-361-91-1

285 END USER COMPUTING. Relates to end user support services.

285.10 Office Automation (OA) Equipment. Documents relating to the selection of end user ADP (hardware and software) and communications equipment, including requirements documents, correspondence and studies reviewing or evaluating proposals, requests for approval and/or recommendation regarding proposed systems or equipment, and related papers. Excludes copies of such documents received for reference or informational purposes that should be filed in the 110.00 series. (Destroy after 3 years.) N1-361-91-1

285.25 OA Resources Management. Documents relating to the allocation and management of resources to accomplish ADP software and hardware problem resolution. Includes any documentation devised to record resources and time spent providing problem resolution. (Destroy after 1 year) N1-361-91-1

285.40 OA Support. Records relating to educational support of end users such as in-house hardware and software training and user group programs. Training records include course documentation developed in-house, with related course outlines and record copy of course materials. User group records include documentation relating to the establishment, operation, procedures, and programs of the groups. (Destroy when superseded or no longer needed, whichever is sooner.) N1-361-91-1

285.55 Electronic Bulletin Board. Documents relating to the establishment, operation, and maintenance of an electronic Bulletin Board Service. Includes

electronic program files. (Destroy when obsolete or no longer needed.) N1-361-91-1

285.70 OA Implementation. Records relating to end user computing (EUC) implementation and usage. Includes such documentation as feasibility studies of OA capabilities and evaluations and recommendations of site assistance visits. (Destroy after 3 years.) N1-361-91-1

285.85 ADP Reference Materials. Technical materials relating to microcomputer hardware, software, applications, and vendors. Includes software maintained for interim loan to approved users. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-91-1

PERSONNEL

300 PERSONNEL. Relates to the administration of military personnel programs and civilian personnel programs for appropriated and non-appropriated fund employees.

300.01 Personnel Program/Project Files. Documents related to the formulation, management, administration and execution of individual Personnel programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 3 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-17

300.02 Personnel Correspondence Files

300.02A Documents providing general direction, staff guidance and reporting in the management and administration of personnel matters including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

300.02A(1) HQ DLA. (Destroy after 5 years.) N1-361-91-17

300.02A(2) Other activities. (Destroy when 3 years old.) GRS 1, Item 3

300.02B Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this series.

300.02B(1) Correspondence and forms relating to pending personnel actions. (Destroy when action is completed.) GRS 1, Item 17a

300.02B(2) All other correspondence and forms. (Destroy when 6 months old.) GRS 1, Item 17c

300.05 Statistical Reports. Statistical reports in the operating personnel office and subordinate units relating to personnel. (Destroy when 2 years old.) GRS 1, Item 16

310 MILITARY PERSONNEL. Relates to military personnel matters, including military personnel assignments and actions.

310.05 Personnel Requisitions. Documents relating to the requisitioning of military personnel and to requests to the Military Departments for the assignment of military personnel to DLA. (Destroy after 1 year.) N1-361-91-17

310.07 Assignments and Transfers. Documents relating to named military personnel assigned to or transferred from elements of DLA including reports of assignments for special projects showing staffing patterns, service assigned and similar papers. (Destroy after 1 year.) N1-361-91-17

310.10 Individual Personnel Records. Individual-type records relating to military personnel assigned to DLA. This item includes only those records that according to the requirements of the Military Services concerned are transferred with the individual during his military career; for example, personnel records jackets, qualification records, and health records. While such records are grouped under this file number for overall identification purposes, neither the jackets (folders) nor their contents will be annotated with this file number. (Maintenance and disposition will be as prescribed by the Military Service concerned.) N1-361-91-17

310.13 Informational Personnel Records. Documents accumulated on individual military personnel and maintained at various command levels with DLA as a result of routing communications through command channels or maintained by offices not having custody of the individual personnel record. Excludes record copies of documents properly filed in 310.10, Individual Personnel Records; however, it may include a copy of such documents. (Cutoff at end of calendar year. Destroy after 1 year.) N1-361-91-17

310.16 Qualification Record Extracts. Extracts from personnel qualification records such as from Officer Qualification Record, Enlisted Qualification Record, or other sources. Excludes official qualification records covered under 310.10, Individual Personnel Records. (Destroy upon transfer or separation of the individual.) N1-361-91-17

310.19 Decorations and Awards Presentations. Case files accumulated as a result of recommendations for, and presentation of, decorations and awards. Includes recommendations; comments; approvals; copies of notices of decoration, notices of and requisitions for awards for decorations, documents properly filed in individual personnel files, acknowledgment of receipt of decorations, and related papers. (Destroy after 1 year.) N1-361-91-17

310.20 Awards and Decorations Special Orders. Special orders for awards and decorations awarded by DLA. (Destroy after 10 years.) N1-361-91-17

310.22 Evaluation Reports. Documents relating to the initiation, preparation, and submission of regular and special evaluation reports on military personnel. (Destroy 1 year after separation or transfer from DLA.) N1-361-91-17

310.25 Non-judicial Punishment. Documents pertaining to specific instances of non-judicial punishment when administered by DLA and retained copies of information and allegations furnished the Military Services where non-judicial punishment is not administered by DLA, including requests for detachment of personnel on duty with DLA for the purpose of administering non-judicial punishment. Note: For judicial (courts martial) actions, see 170.79, Military Justice. (Destroy 1 year after transfer of the individual concerned.) N1-361-91-17

310.28 Military Position Descriptions. Position descriptions covering military positions authorized for DLA. (Destroy when superseded or canceled.) N1-361-91-17

310.31 Military Personnel Data. Individual records or listings serving as control or reference files rather than as official documentation. Such records provide current information relative to military personnel, such as date of assignment, rotation date, branch of service, rank, date of rank, military and civilian education. (Destroy upon reassignment of individual or upon supersession, as applicable.) N1-361-91-17

310.34 Personal Affairs. Relates to administrative preparation and/or processing of personal-type actions such as request for Government life insurance, mortgage insurance, or social security. Excludes documents appropriate for filing in 310.10, Individual Personnel Records. (Destroy after 1 year.) N1-361-91-17

310.37 Promotions. Documents relating to the promotion of enlisted, warrant, and commissioned officer personnel. (Destroy after 2 years.) N1-361-91-17

310.40 Retention on Active Duty. Documents relating to the retention on active duty of military personnel and the accomplishment of certificates of declination or acceptance of active duty obligation. (Destroy 1 year after separation from DLA assignment, or in accordance with requirements of military service, as applicable.) N1-361-91-17

310.43 Retirement, Resignation, Separation. Documents not included in military personnel jackets that relate to requests for retirement, resignation, and/or separation of military personnel, retirement ceremonies, publication of orders, and retired personnel reports. (Destroy 1 year after separation from DLA, or in accordance with requirements of military service, as applicable.) N1-361-91-17

310.46 Reserve Affairs. Documents relating to the administration of military reserve affairs including selection and assignment of mobilization designees, active duty training, preparation of tables of distribution, and similar papers. (Destroy 2 years after separation or release from mobilization designation, or after supersession or obsolescence, or after 5 years, as applicable.) N1-361-91-17

310.49 Troop Information and Education. Documents pertaining to objectives, requirements, preparation of reports, and dissemination of information to military personnel. (Destroy when superseded or obsolete, or after 3 years, as applicable.) NN-168-94

310.52 Clearance Certificates. Copies of retained clearance certificates indicating completion of clearance procedures by departing military personnel. They consist of installation clearance certificates or similar forms, with supporting documents evidencing payment of service bill; return of property held on receipt; return of identification documents; return of vehicle, weapon, and similar registration papers; medical clearances; and similar clearance matters. (Destroy 1 year after reassignment of individual.) N1-361-91-17

310.60 Rosters and Strength Returns. Rosters, returns, reports, and related papers regarding military personnel assigned to DLA.

310.60A Army Monthly Personnel Strength Zero Balance Report. (Cut off annually or when reporting unit/activity is reduced to zero strength. Transfer to inactive file and destroy after 1 year.) N1-361-91-17

310.60B Others. (Destroy after 1 year.) N1-361-91-17

310.62 Duty Rosters. Rosters maintained for recording duties performed by personnel in an organization in order to make an equitable determination of duty assignments. (Destroy 3 months after last duty assignment is made from the roster.) N1-361-91-17

310.64 Military Personnel Registers. Registers used to control absences from military installations containing signatures; time of departure or arrival; name, grade, or rank, and organization of individual; authority for absence, destination, and address while absent; length of absence; and similar information. (Destroy after 1 year.) N1-361-91-17

310.66 Military Personnel Locator Cards. Locator cards and comparable forms used to indicate the whereabouts of personnel. (Destroy 1 year after transfer, departure, or separation of the individual.) N1-361-91-17

310.80 Leave of Absence. Duplicate copies of DA Form 31, Request and Authority for Leave, NAVCOMPT Form 3065, Leave Request/Authorization, AF Form 988, Leave Request/Authorization, NAVMC Form 3, Leave Authorization (Officer and Enlisted) (1050), and comparable forms used in requesting and granting leave for military personnel. (Destroy when all postings to leave records have been completed and verified, except when required as evidence in any proceedings.) N1-361-91-17

310.85 Enlisted Personnel Passes. Duplicate copies of DD Form 345, Armed Forces Liberty Pass, DA Form 31, Request and Authority for Leave, and comparable forms and orders used in authorizing enlisted personnel to be absent on other than leave. (Destroy upon reassignment or separation of the individual, except when required as evidence in any proceedings.) N1-361-91-17

310.90 Training. Documents relating to the administration of training and educational matters affecting military personnel. (Destroy after 5 years.) NN-168-94

330 CAREER DEVELOPMENT. Relates to those aspects of the civilian personnel program relating to employee development, training and incentives.

330.10 Training Requirements. Training survey forms, requests for training, activity training plans, and related materials used to identify and determine training needs, develop training plans and methods to fulfill training requirements. (Cut off at end of Fiscal Year. Destroy after 1 year.) N1-361-91-17

330.20 Employee Training. Correspondence, memoranda, reports and other records relating to the availability of training and employee participation in training programs sponsored by other Government agencies or non-Government institutions. (Destroy when 5 years old or when superseded or obsolete, whichever is sooner.) GRS 1, Item 29b.

330.30 Developmental Programs. Employee agreements, individual training plans, supervisor's quarterly progress reports, statistical indicator reports, recommendations for improvements, printouts, listings, correspondence, and similar materials used to identify, develop and monitor specific developmental training programs such as intern, upward mobility, executive government, career management, and Veterans Readjustment Act programs. (Destroy 1 year after employee has completed program.) N1-361-91-17

330.40 Training Evaluations. Course evaluation forms, course rating, and similar materials used to evaluate the effectiveness of training, development, and noncompetitive testing programs. (Destroy 1 year after employee has completed training.) N1-361-91-17

330.50 Course Records. General training course records of agency-sponsored training consisting of:

330.50A Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training, courses and conferences. (Destroy when 5 years old or 5 years after completion of a specific training program.) GRS 1, Item 29a(1)

330.50B Backup and working files. (Destroy when 3 years old.) GRS 1, Item 29a(2)

330.60 Course Reference Materials. Reference copies of pamphlets, notices, catalogs and other records which provide information on courses or programs offered by Government or non-Government organizations, not covered elsewhere. (Destroy when superseded, obsolete or no longer needed for reference.) N1-361-91-17

350 CLASSIFICATION AND PAY ADMINISTRATION. Relates to those aspects of the civilian personnel program relating to position classification and pay administration.

350.10 Position Classification Standards. Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency. (Destroy when superseded or obsolete.) GRS 1, Item 7a(1)

350.15 Classification Standard Development. Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency and reviewed by Office of Personnel Management (OPM) for approval or disapproval.

350.15A Case files. (Destroy 5 years after position is abolished or description is superseded.) GRS 1, Item 7a(2)(a)

350.15B Review files. (Destroy when 2 years old.) GRS 1, Item 7a(2)(b)

350.20 Position Descriptions. Record copies of position descriptions which include information on title, series, grade, duties and responsibilities, and related documents. (Destroy 2 years after position is abolished or description is superseded.) GRS 1, Item 7b

350.25 Classification Survey Reports. Classification survey reports on various positions prepared by classification specialists, including periodic reports. (Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.) GRS 1, Item 7c(1)

350.30 Inspection, Audit and Survey File. Inspection, audit and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits and evaluations. (Destroy when obsolete or superseded.) GRS 1, Item 7c(2)

350.35 Appeal Files. Case files relating to classification appeals, excluding OPM classification certificates. (Destroy 3 years after case is closed.) GRS 1, Item 7d(1)

350.40 Classification Certificates. Certificates of classification issued by OPM. (Destroy after affected position is abolished or superseded.) GRS 1, Item 7d(2)

350.50 Position/Occupation Structures. Proposed reorganization materials, records of advice provided, newly developed standards, reports, and related correspondence used to plan and conduct position/occupational structure analyses. (Destroy after 5 years.) N1-361-91-17

350.55 Wage Surveys and Pay Adjustment Determinations. Contractor salary comparability charts, copies of supervisory position descriptions, correspondence, and related backup materials used to conduct locality wage surveys, develop hazardous and environmental pay entitlements, and determine pay adjustments for classification act supervisors of Federal Wage System Employees. (Destroy when superseded or obsolete.) N1-361-91-17

350.56 Schedules of full-scale wage surveys, requests for changes to surveys and survey schedules, minutes of meetings, comments, recommendations and justifications, collected and supplemental wage data concerning regular and overtime rates, bonuses, incentives, and shift differentials, data summaries, wage schedules, notifications of wage schedule applications, and similar information used to determine and apply base rate schedules for wage grade jobs.

350.56A DCPMS Wage Setting Division

350.56A(1) Wage Survey data maintained in electronic form. (Permanent. Transfer to the National Archives in annual increments along with related documentation (code books, file layouts, etc.) N1-361-95-2

350.56A(2) All other records. (Destroy after 20 years.) N1-361-95-2

350.56B DCPMS Regional Offices. (Destroy when superseded or no longer needed, whichever is sooner.) N1-361-95-2

350.57 Pay Comparability Records. Records created under the Pay Comparability Act, including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances.

(Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later.) GRS 1, Item 41

350.65 Merit Pay. Employee ratings, calculations, correspondence and related backup and guidance used in the development and implementation of Merit Pay.

(See disposition instructions for 375.25 and 375.28.) GRS 1, Item 23a(3)(b)

370 STAFFING. Relates to the implementation of DLA Staffing regulations, policies, and procedures.

370.10 Merit Promotion Case Files. Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates (Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.) GRS 1, Item 32

370.15 Employment Applications. Applications, including OF 612, resumes, and any other application developed for unique jobs with specialized requirements, and related records, excluding records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel File (OPF). (Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier.) GRS 1, Item 15

370.20 Examining and Certification Records. Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the Office of Personnel Management and agencies allowing for the examination and certification of applicants for employment.

370.20A Delegated agreements. (Destroy 3 years after termination of agreement.) GRS 1, Item 33a

370.20B Correspondence concerning applications, eligibles certification, and all other examining and recruiting operations including but not limited to correspondence from the Congress, White House, and general public; and

correspondence regarding accommodations for holding examinations and shipment of test materials. (Cutoff annually. Destroy 1 year after cutoff.) GRS 1, Item 33b

370.21 Test Material Stock Control. Stock control records of examination test material including running inventory of test material in stock. (Destroy when test is superseded or obsolete.) GRS 1, Item 33c

370.22 Application Record Cards. Application Record Cards (OPM Form 5000A, or equivalent). (Cut off after examination. Destroy no later than 90 days after cutoff.) GRS 1, Item 33d

370.23 Examination Announcement Case Files. Correspondence regarding examination requirements, original drafts of examination, and announcements issued excluding records concerning qualification standards, job specifications and their development. (Destroy 5 years after termination of related register.) GRS 1, Item 33e

370.24 Register of Eligibles. Register of eligibles (OPM Form 5001-C or equivalent) documenting eligibility of an individual for Federal jobs.

370.24A Individuals with terminated eligibility. (Cut off records annually. Destroy 5 years after cutoff.) GRS 1, Item 33f

370.24B Terminated registers. (Destroy 5 years after termination date.) GRS 1, Item 33f

370.24C Registers established under case examining. (Destroy after audited by local OPM service center or 90 days after final action is taken on the certificate, whichever is sooner.) GRS 1, Item 33f

370.25 Transfer Eligibility Denials. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent). (Cut off annually. Destroy 1 year after cutoff.) GRS 1, Item 33g

370.26 Canceled/Ineligible Applications. Canceled and ineligible applications, supplemental forms, and attachments. (Destroy ineligible applications not returned to applicant, and canceled applications 90 days after date of action or when register is terminated, whichever is sooner.) GRS 1, Item 33h

370.27 Test Answer Sheets. Written test answer sheets for both eligibles and ineligibles. (Destroy when 6 months old.) GRS 1, Item 33i

370.28 Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action and corrective action required. (Cut off file annually. Destroy 5 years after cutoff.) GRS 1, Item 33j

370.29 Eligible Applications

370.29A On active register. (Destroy upon termination of the register (except applications that may be brought forward to new register, if any.)) GRS 1, Item 33k(1)

370.29B On inactive register. (Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration.) GRS 1, Item 33k(2)

370.30 Prior Approval Requests. Requests for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, Request for Approval of Noncompetitive Action, OPM 648, or equivalent form. (Cut off file annually. Destroy 1 year after cutoff.) GRS 1, Item 33l

370.31 Certificate Files

370.31A SF 39, Request for Referral of Eligibles, SF 39A, Request and Justification for Selective Factors and Quality Ranking Factors, or equivalent, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, lists of eligibles screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. (Cut off file annually. Destroy 5 years after break.) GRS 1, Item 33m

370.31B Certification Request Control Index. (Cut off file annually. Destroy 1 year after cutoff.) GRS 1, Item 33n

370.32 Displaced Employee Program

370.32A Displaced Employee Program (DEP) applications and registration sheets. (Destroy upon expiration of employee's DEP eligibility.) GRS 1, Item 33o

370.32B DEP control cards. (Cut off file annually. Destroy 2 years after break.) GRS 1, Item 33p

370.33 Audits. Reports of audits of delegated examining operations. (Destroy 3 years after day of audit report.) GRS 1, Item 33q

370.40 Retention Registers

370.40A Registers used to effect reduction-in-force actions. (Destroy when 2 years old.) GRS 1, Item 17b(1)

370.40B Registers from which no reduction-in-force actions have been taken and related records. (Destroy when superseded or obsolete.) GRS 1, Item 17b(2)

370.45 Certificate of Eligibles Files. Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a non-preference eligible. (Destroy when 2 years old.) GRS 1, Item 5

370.50 Interview Records. Correspondence, reports and other records relating to interviews with employees. (Destroy 6 months after transfer or separation of employee.) GRS 1, Item 8

370.55 Offers of Employment Files. Correspondence including letters and telegrams offering appointments to potential employees.

370.55A Accepted offers. (Destroy when no longer needed.) GRS 1, Item 4a

370.55B Declined offers.

370.55B(1) Temporary or excepted appointment. (File with application and destroy with application per 370.15) GRS 1, Item 4b(2)

370.55B(2) All others. (Destroy immediately upon receipt of declined offer.) GRS 1, Item 4b(3)

375 EMPLOYEE RELATIONS. Relates to the implementation of DLA Employee Relations regulations, policies, and procedures.

375.10 Standards of Conduct Files. Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct. (Destroy when obsolete or superseded.) GRS 1, Item 27

375.13 Adverse Action Files. Case files and related records created in reviewing an adverse action (disciplinary or non-disciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. Includes copies of proposed adverse actions with supporting documents; statements of witnesses; employee's replies; hearing notices, reports and decisions; reversal of action; and appeal records, but excludes letters of reprimand which are filed in the OPF. (Destroy 4 years after case is closed.) GRS 1, Item 30b

375.16 Counseling Files. Reports of interviews, analyses and related records. (Destroy 3 years after termination of counseling.) GRS 1, Item 26a

375.20 Grievance and Appeals Case Files. Records originating in the review of grievance and appeals raised by agency employees, excluding EEO complaints. Includes statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request. (Destroy 4 years after case is closed.) GRS 1, Item 30a

375.25 Employee Performance Files Non-Senior Executive Service (SES)

375.25A Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all related documents. (Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction in grade notice.) GRS 1, Item 23a(1)

375.25B Performance records superseded through an administrative, judicial, or quasi-judicial procedure. (Destroy when superseded.) GRS 1, Item 23a(2)

375.25C Performance related records pertaining to a former employee:

375.25C(1) Latest rating of record 3 years old or less and performance plans upon which it is based and any summary ratings. (Place records on left side of

the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see 390.10A(2), Official Personnel Folders). If retrieving from an OPF coming from NPRC, dispose of in accordance with 375.25C(2)) GRS 1, Item 23a(3)a

375.25C(2) All other performance plans and ratings. (Destroy when 4 years old.) GRS 1, Item 23a(3)b

375.25D All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based. (Destroy 4 years after date of appraisal.) GRS 1, Item 23a(4)

375.25E Supporting documents. (Destroy 4 years after date of appraisal.) GRS 1, Item 23a(5)

375.28 Employee Performance Files (SES)

375.28A Performance records superseded through an administrative, judicial, or quasi-judicial procedure. (Destroy when superseded.) GRS 1, Item 23b(1)

375.28B Performance related records pertaining to a former SES appointee.

375.28B(1) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating. (Place records on left side of the OPF and forward to gaining Federal Agency upon transfer or to NPRC if employee leaves Federal service (see 390.10A(2)). If retrieving from an OPF coming from NPRC, dispose of in accordance with 375.28B(2).) GRS 1, Item 23b(2)(a)

375.28B(2) All other performance ratings and plans. (Destroy when 5 years old.) GRS 1, Item 23b(2)(b)

375.28C All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, excluding those for SES appointees serving on a Presidential appointment. (Destroy 5 years after date of appraisal.) GRS 1, Item 23b(3)

375.28D Supporting documents. (Destroy 5 years after date of appraisal.) GRS 1, Item 23b(4)

375.30 Labor Management Relations General and Case Files. Correspondence, memoranda, reports and other records relating to the relationship between management and employee unions or other groups.

375.30A Office negotiating agreement. (Destroy 5 years after expiration of agreement.) GRS 1, Item 28a(1)

375.30B Other offices. (Destroy when superseded or obsolete.) GRS 1, Item 28a(2)

375.33 Labor Arbitration General and Case Files. Correspondence, forms, and background papers relating to labor arbitration cases. (Destroy 5 years after final resolution of case.) GRS 1, Item 28b

375.40 Occupational Injury and Illness Files. Reports and logs (including OSHA Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses (Destroy when 5 years old.) GRS 1, Item 34

375.43 Denied Health Benefits Requests Under Spouse Equity. Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.

375.43A Health benefits denied, not appealed. (Destroy 3 years after denial.) GRS 1, Item 35a

375.43B Health benefits denied, appealed to OPM for reconsideration.

375.43B(1) Appeal successful, benefits granted. (Create enrollment file in accordance with Subchapter S17 of the FEHB Handbook.) GRS 1, Item 35b(1)

375.43B(2) Appeal unsuccessful, benefits denied. (Destroy 3 years after denial.) GRS 1, Item 35b(2)

375.45 Personal Injury Files. Forms, reports, correspondence and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made excluding copies filed in the Employee Medical Folder and copies submitted to the Department of Labor. (Cutoff on termination

of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.) GRS 1, Item 31

375.46 Donated Leave Program Case Files. Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records. (Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed.) GRS 1, Item 37

375.47 Handicapped Individuals Appointment Case Files. Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with Federal Personnel Manual, chapter 306-11, subchapter 4-2. (Destroy 5 years following the date of approval or disapproval of each case.) GRS 1, Item 40

375.50 Incentive Awards Program Reports. Reports pertaining to the operation of the Incentive Awards Program. (Destroy when 3 years old.) GRS 1, Item 13

375.52 Employee Award Case Files. General award case files (excluding those relating to departmental level awards) consisting of recommendations, approved nominations, correspondence, reports and related handbooks pertaining to cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

375.52A Agency sponsored. (Destroy 2 years after approval or disapproval.) GRS 1, Item 12a(1)

375.52B Sponsored by other agencies or non-Federal organizations. (Destroy when 2 years old.) GRS 1, Item 12a(2)

375.54 Length of Service and Sick Leave Awards Files. Records including correspondence, reports, computations of service and sick leave, and lists of awardees. (Destroy when 1 year old.) GRS 1, Item 12b.

375.56 Letters of Commendation and Appreciation. Copies of letters recognizing length of service and retirement, and letters of appreciation and commendation for performance, excluding copies filed in the OPF. (Destroy when 2 years old.) GRS 1, Item 12c

375.58 Award Lists and Indexes. Lists of nominees and winners and indexes of nominations. (Destroy when superseded or obsolete.) GRS 1, Item 12d

375.60 Alcohol and Drug Abuse Program. Records created in planning, coordinating and directing an alcohol and drug abuse program. (Destroy when 3 years old). GRS 1, Item 26b

375.65 Host Enrollee Program Files. Records pertaining to the selection, tenure, and separation of individuals in the Host Enrollee Program used in administering the program. Includes time and attendance data, training information, periodic evaluation, data on enrollee designee for emergency contact, and similar employment related information. (Destroy 2 years after separation of enrollee from the program.) N1-361-93-4

375.70 Federal Workplace Drug Testing Program Files. Relates to drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), excluding consolidated statistical and narrative reports concerning the operation of the Agency program, including annual reports to Congress, as required by Public Law 100-71, 503(f). NOTE: Any records identified in this series that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).

375.70A Drug test plans and procedures. Excludes documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals and the like). Includes Agency copies of plans and procedures with related drafts, correspondence, memoranda, and other records pertaining to the

development of procedures for drug testing programs, including the determination of testing incumbents in designated positions. (Destroy when 3 years old or when superseded, obsolete. See Note: 375.70) GRS 1, Item 36a

375.70B Employee Acknowledgment of Notice Forms. Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested. (Destroy when employee separates from testing designated position. See Note: 375.70) GRS 1, Item 36b

375.70C Selection/scheduling records. Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules. (Destroy when 3 years old. See Note: 375.70) GRS 1, Item 36c

375.70D Collection and handling record books. Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected. (Destroy 3 years after date of last entry. See Note: 375.70) GRS 1, Item 36d(1)

375.70E Collection and handling chain of custody records. Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen. (Destroy when 3 years old. See Note: 375.70) GRS 1, Item 36d(2)

375.70F Test results. Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

375.70F(1) Positive results.

375.70F(1)(a) Employees. (Destroy when employee leaves the agency or when 3 years old, whichever is later.) GRS 1, Item 36e(1)(a)

375.70F(1)(b) Applicants not accepted for employment (Destroy when 3 years old. See NOTE in 375.70). GRS 1, Item 36e(1)(b)

375.70F(2) Negative results. (Destroy when 3 years old.) GRS 1, Item 36e(2)

390 TECHNICAL SERVICES. Relates to the maintenance of Official Personnel folders, and related personnel actions.

390.10 Official Personnel Folders. Maintain according to The Guide to Personnel Recordkeeping, an OPM manual that prescribes a system of recordkeeping for Federal personnel.

390.10A Records filed on the right side of the Official Personnel Folder.

390.10A(1) Transferred employees. (See Chapter 7 of The Guide to Personnel Recordkeeping for instructions relating to folders of employees transferred to another agency.) GRS 1, Item 1a

390.10A(2) Separated employees. (Transfer folder to National Personnel Records Center, St. Louis, MO 63118, 30 days after separation.) GRS 1, Item 1b

390.10B Records filed on the left side of the Official Personnel Folder which includes all copies of correspondence and forms maintained in accordance with Chapter 3 of The Guide to Personnel Recordkeeping, excluding performance related records. (Destroy upon separation or transfer of employee or when 1 year old, whichever is sooner.) GRS 1, Item 10

390.30 Notifications of Personnel Actions. Standard Form (SF) 50, Notification of Personnel Action, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the OPF.

390.30A Chronological file copies, including fact sheets, maintained in personnel offices. (Destroy when 2 years old.) GRS 1, Item 14a

390.30B All other copies maintained in personnel offices. (Destroy when 1 year old.) GRS 1, Item 14b

390.50 Position Identification Strips. Strips such as SF 7D, Position Identification Strips, used to provide summary data on each position occupied.

NOTE: The SF 7D became obsolete effective December 31, 1994. (Destroy when superseded or obsolete.) GRS 1, Item 11

390.70 Realignments and Reorganizations. Documents pertaining to realignments and reorganizations and related backup materials used to activate approved realignments and reorganizations. (Destroy when superseded or obsolete.) N1-361-91-17

FINANCE

400 FINANCE. This series relates to overall financial management plans, accounting, disbursement, and collection of appropriated and non-appropriated funds, and includes records created from these functions as well as from auditing and cost accounting activities and military and civilian pay administration.

400.01 Finance. Documents relating to overall financial matters. (Destroy after 10 years.) NN-168-94

400.05 Appropriations-Financial Management. Documents relating to overall financial management of appropriations. Excluded are those documents relating to a single phase of financial management reflected elsewhere in the 400.00 series. (Destroy after 10 years.) NN-168-94

400.15 Industrial Fund-Financial Management. Documents relating to overall financial management of industrial funds. Excluded are those documents relating to a single phase of financial management reflected elsewhere in the 400.00 series. (Destroy after 10 years.) NN-168-94

400.20 Interservice Cross and Common Service Agreements. Documents relating to the budgeting and financial responsibilities provided for in interservice agreements between DLA, the Military Departments, and others.

400.20A Offices executing agreements. (Permanent. Transfer to National Archives in 5-year blocks when 30 years old.) NN-168-94

400.20B Other offices. (Destroy when superseded, obsolete, or no longer needed.) NN-168-94

421 APPROPRIATIONS

421.01 Appropriations. Documents relating to the accounting for appropriations allotments and the commitment, obligation, and expenditure of allotted funds. (Destroy after 6 years and 3 months.) GRS 7, Item 3

421.05 Allotments. Files relating to transactions making specific funds allocated to a fiscal operating agency available for obligation to field installations, either through allotment or sub-allotment, accumulated by fiscal administrative elements. (Destroy after 6 years and 3 months after the close of the fiscal year involved.) GRS 7, Item 3

421.10 Journals. Books of original entry maintained to record all financial transactions and to summarize accounting for monthly postings to the general ledger, consisting of the general journal, and special journals such as fund receipt, fund disbursements, and obligation journals. (Destroy after 2 years.) NN-168-94

421.15 General Ledgers. General ledgers which contain the accounts necessary to reflect financial operations, such as asset accounts, operating accounts, liability accounts, budgetary accounts, and statistical accounts, maintained for the purpose of establishing in summary form the status of the accounts, operations for the month, and to provide a medium for verifying the accuracy of reports and subsidiary ledgers. (Cutoff ledger sheets that are filled or closed at the end of fiscal year. Destroy after 6 years and 3 months.) GRS 7, Item 2

421.20 Subsidiary Ledgers. Subsidiary ledgers maintained as a source for ascertaining the composition of general ledger accounts, to accumulate detail for analysis and reporting purposes, and verification of accuracy of general ledger accounts. They consist of allotment ledgers, open allotment ledgers, appropriation revenue ledgers, transactions for other ledgers, and unapplied

Disbursing Office (DO) deposit fund ledgers. (Destroy after 3 years.) GRS 7, Item 4

421.25 Trial Balances. Trial balances prepared from general ledger accounts. (Destroy after 1 year.) NN-168-94

421.30 Subsidiary Files. DO cash accounts subsidiaries; advances to employees, progress payments to contractors, and advances to contractors subsidiary records and cash blotters and check ledgers. (Destroy after 3 years.) NN-168-94

421.35 Financial Reports. Copies of reports forwarded to higher echelon, such as: status of allotments; advance report of cumulative obligations; special open allotments; net expenditures, reimbursements, and related cash transactions; transactions for others, special data, schedule of foreign payments and foreign receipts; preparation for sales or salvage of military property; airmen's deposits and repayments; daily report of checks drawn, status of advance payments to contractors; acquisition, rehabilitation, repair, and rental Wherry housing; summary schedule of transactions-Air Force allotments; report of appropriation reimbursements; status of reimbursements; miscellaneous net disbursements and net collections; objects classification summary; comparable reports; and related documents.

421.35A Status of allotments reports and acquisition, rehabilitation, repair, and rental Wherry housing reports. (Destroy 1 year after all transactions relating to the allotment accounts have been closed.) NN-168-94

421.35B Other reports files. (Destroy after 1 year.) NN-168-94

427 CENTRAL ACCOUNTS. Relates to the mission functions performed by the DLA Accounting and Finance Division.

427.05 Integrated Command Accounting and Reporting (ICAR). Feeder reports and related documents submitted by the DLA/Army disbursing offices in accordance with the provisions of AR 37-108 and DLAM 7000.1, Accounting and Finance Manual, and of the consolidated financial statements, reports and listings prepared therefrom by the DLA Accounting & Finance Division in accordance with the provisions of AR 37-151 and related Department of Army directives. (Destroy after 3 years.) NN-168-94

427.10 Fund Utilization Reports and Listings. Copies of fund authorizations, status of allotment/sub-allotment, reports on reimbursable transactions, and monthly reports of obligations by object class furnished by the HQ DLA Office of Comptroller for consolidation, and of related consolidated listings furnished to that office for use in preparation of HQ DLA financial accounting reports and statements. (Destroy after 1 year.) NN-168-94

427.15 Miscellaneous Central Accounting. Feeder reports and documents accumulated in the performance of specific central accounting operations as assigned by HQ DLA, including such documents as are applicable to the centralized billing of the Federal Republic of Germany for price review services and feeder reports and consolidated reports of DoD International Balance of Payments-Accounting Report #1, Federal Outlay by Geographic Location; and Payroll Report of Federal Civilian Employment. (Destroy after 1 year.) NN-168-94

427.20 Accounting Classification Audit. Decks or tabulating cards and master numerical lists reflecting valid accounting classifications received each fiscal year from all Finance and Accounts Offices, U.S. Army and furnished to DLA/Army disbursing offices. (Destroy each year after receipt of new fiscal year's listing and cards.) NN-168-94

429 OTHER FUNDS

429.01 Other Funds. Documents relating to funds accounting other than appropriated funds and revolving funds. Includes documents relating to deposit funds, suspense accounts, trust funds, and similar type funds. (Destroy after 10 years.) NN-168-94

429.05 IMPREST Funds. Documents accumulated by IMPREST fund cashiers which reflect the receipt and accounting for imprest funds. Included are copies of reimbursement vouchers and receipts for funds entrusted to agent officer which also reflect acknowledgment of return of funds and statement of balance.

(Destroy after 2 years.) NN-168-94

430 DISBURSEMENT, REIMBURSEMENT, COLLECTIONS, AND ADJUSTMENTS. Relates to funds disbursements, reimbursements, collections, and adjustment functions usually performed by an accountable disbursing officer or his agent, or by other authorized collections or sales offices.

430.01 Monetary Collections and Payments. Documents relating to the overall administration of funds disbursements, reimbursement, collections, and adjustments functions. (Destroy when superseded, obsolete, or after 10 years, whichever is sooner.) NN-168-94

431 DISBURSEMENTS. Relates to those records constituting or directly relating to an accountable disbursing officer's accounts.

431.10 Disbursing Accounts. Records maintained by disbursing officers including money accounts, vouchers, ledgers, and registers covering all phases of the disbursement and accounting for obligations paid and the collection and crediting of funds due. (Effect disposition in accordance with the pertinent regulations of the Military Department from which the disbursing station number was obtained, except as otherwise indicated under file numbers 431.11 through 431.15B.) NN-168-94

431.11 Routine Procurement Files. [See note after item 431.11D.] Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than real property files or tax exemption files). [See note after item 431.11A(2)(b).]

431.11A. Procurement or purchase organization copy, and related papers.

431.11A(1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold").

431.11A(1)(a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000. (Destroy 6 years and 3 months after final payment.) GRS 3, Item 3a.(1)(a)

431.11A(1)(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000. (Destroy 3 years after final payment) GRS 3, Item 3a.(1)(b)

431.11A(2) Transactions dated earlier than July 3, 1995.

431.11A(2)(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000. (Destroy 6 years and 3 months after final payment.) GRS 3, Item 3a(2)(a)

431.11A(2)(b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000. (Destroy 3 years after final payment.) GRS 3, Item 3a(2)(a)

[NOTE: Given the complexities of the rules on procurement, agencies should involve procurement officials when deciding which of the subitems to apply to a particular series of records.]

431.11B Obligation copy. (Destroy when funds are obligated.) GRS 3, Item 3b

431.11C Other copies of records described above used by component elements of a procurement office for administrative purposes. (Destroy upon termination or completion.) GRS 3, Item 3c

431.11D Data Submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS. (Destroy or delete when 5 years old.) GRS 3, Item 3d

[NOTE: Unique procurement files are not covered by this schedule. With the standardization of the Government-wide procurement process under the FAR, such files are unlikely to exist. However, if an activity believes that a procurement file has long-term research value, contact the agency Records Manager to have an SF 115 submitted.]

Paying Office Contract Files. Files relating to individual contracts maintained by paying offices. (Note: Upon completion of contract, place in appropriate closed file, depending on dollar value. Cutoff closed files at annual or more frequent recurring intervals, hold a comparable period, and retire for ultimate disposal as indicated. Exception: Files known to be pertinent to an unsettled claim, incomplete investigation, or pending litigation will not be destroyed in accordance with this disposal standard until settlement of the claim or completion of the investigation or litigation.)

431.11A Transactions for \$25,000 or less. (Destroy 3 years after cutoff.) GRS 3, Item 3

431.11B Transactions over \$25,000. (Destroy 6 years and 3 months after cutoff.) GRS 3, Item 3

431.12 Shipment Control Records. Documents maintained to ensure prompt receipt of Material Inspection and Receiving Reports and invoices. (Destroy upon completion of related contract, except that those relating to transferred contracts and contract number changes will be held 1 year and then destroyed.) NN-168-94

431.13 Sub-vouchers. Retained copies of sub-vouchers accumulated at Defense Contract Management Districts (DCMDs) beginning with FY 68 under the procedures of Mechanization of Contract Administration Services (MOCAS), Phase IB. (Cutoff at the end of each fiscal year, hold 2 years, then retire to the applicable records center. Destroy 6 years and 3 months after date of cutoff.) GRS 7, Item 3

431.15 Record of Travel Payments. Documents used to record individual travel payments transactions, such as DD Form 1588, Record of Travel Payments.

431.15A Civilians. (Destroy 1 year after termination of employment of individual, or when no longer needed, whichever is earlier.) NN-168-94

431.15B Military. (When the service member terminates an assignment with DLA, send to the appropriate office where the member's pay records are maintained.)

431.20 Reports and Returns. Reports reflecting the status of disbursing accounts. (Destroy after 4 years.) NN-168-94

431.80 Certificates of Settlement. Certificates of settlement, statements and differences, and related or comparable documents relating to disbursing officers.

431.80A Certificates covering closed account settlements, supplements, and final balance statements. (Destroy 2 years after date of settlement, provided certificates indicate clearance.) GRS 6, Item 3a

431.80B Certificates covering period settlements. (Destroy when subsequent certificates of settlement are received.) GRS 6, Item 3b

431.90 Documents Receipts. Records compiled to indicate, by means of identifying symbols and date periods, the documents transferred by a disbursing officer to an accounts office. (Destroy after 2 years.) NN-168-94

431.95 Advice of Correction Files. Documents utilized by the accounts office to notify field installations and/or disbursing offices of corrections made in accounting classifications. (Destroy after 6 months.) NN-168-94

432 COLLECTIONS. Relates to the collection of monies maintained as a separate series from other financial and fiscal series. When such documents form an integral part of the accounts of files described elsewhere in this DLAI, they will have the same disposition as the account or file of which they are a part.

432.01 Collections. Documents relating to the collection of monies due maintained by disbursing, collection, or sales officers. (Destroy after 6 years and 3 months.) GRS 6, Item 1a

432.05 Collection Vouchers. Copies of documents that have been transmitted to disbursing officers which are accumulated by sale officers and other officials authorized to accept amounts due the United States from individuals, organizations, or Governmental agencies other than files accumulated by disbursing officers. Such files include reports of deposits, report of collection for authorized sales of services and supplies, account of sales of public property at public auction or on sealed proposals, schedule of collections, and comparable documents. (Destroy after 3 years.) NN-168-94

433 REIMBURSEMENTS

433.01 Reimbursements. Documents relating to the transfer of funds or payment to other departments or agencies for material or services furnished DLA activities. (Destroy after 10 years.) NN-168-94

434 PAYROLL. Relates to payment systems and accounts maintained by disbursing officers for paying military personnel and civilian employees.

434.01 Payroll. Documents relating to the administration of payroll matters. (Destroy after 5 years.) NN-168-94

434.10 Military Payroll. Military payroll documents, such as individual pay records and substantiating documents which due to their specialized nature are not appropriate for including under file number 431.10 or which are required to be separately maintained. (Transfer with individual or retire on separation in accordance with regulations of the appropriate Military Department.) NN-168-94

434.50 Civilian Individual Pay Records

434.50A Pay record for each employee as maintained in an electronic database. This database may be a stand-alone payroll system or part of a combined personnel/ payroll system. (Update elements and/or entire record as required.) GRS 2, Item 1a

434.50B Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine readable form. (Transfer to National Personnel Records Center, 111 Winnebago Street, St. Louis, MO 63118, after 3 years. Earlier retirement is not authorized. Destroy when 56 years old.) GRS 2, Item 1b

Note: These files are cutoff at the end of each calendar year and are moved in calendar year blocks. Due to the necessity for quick reference in connection with Bureau of Compensation cases, these files normally are maintained in current files areas. Strict compliance with the disposition instructions is necessary to ensure availability of these files to meet reference needs at the office of creation and at the records center. Prior to shipment, records for each installation or activity served will be arranged in alphabetical or numerical order. When arranged in numerical order, an alphabetical name index must accompany the shipment. When size permits, the files will be shipped in standard size records boxes (paragraph XIIB, enclosure 2). Standard Form 135, in duplicate, will accompany the shipment. In addition, to the self-explanatory entries on the form, information will be included as to the name and location of the payroll office or offices concerned, the name of the submitting payroll office, and the number of packages in the shipment.

434.51 Individual Retirement Records. Individual retirement records reflect the amounts that have been deducted from the pay of each individual civilian employee subject to the Retirement Act (46 Stat. 468; 5 U.S.C. 691-738), as amended, for deposit to the Civil Service Retirement and Disability Funds. (When the individual is separated or transferred to an agency outside of the Defense Logistics Agency, forward SF 2806, Individual Retirement Record (Civil Service Retirement System), to the Office of Personnel Management, Washington, DC 20415, except in instances where the agencies (including the Office of Personnel

Management) agree that SF 2806 be annotated as to date of transfer and maintained by the gaining agency.) NN-168-94

Note: These are permanent records which will be maintained at the installation during active employment of the individual concerned. Upon transfer of the employee to another DLA activity, the SF 2806 will be forwarded to that installation. Instructions for transfer of individual retirement records are contained in paragraphs 12-1 through 12-10, AR 37-105.

434.52 Retirement Files. Reports registers or other control documents, and other records relating to retirement, such as SF 2807, Register of Separations and Transfers-Civil Service Retirement System, or equivalent. (For CSRS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary.) GRS 2, Item 28

434.55 Leave Records

434.55A Records of employee leave, such as SF 1150, Record of Leave Data, prepared upon transfer or separation. (File on right side of OPF. Destroy with OPF.) GRS 2, Item 9a

434.55B Creating agency copy, when maintained. (Destroy when 3 years old.) GRS 2, Item 9b

434.58 Authorized Timekeeper Lists. Documents indicating individuals responsible for timekeeping. Included are lists, memoranda, and communications. (Destroy when superseded or when obsolete for any reason.) NN-168-94

434.60 Payroll Administration

434.60A Payroll system reports.

434.60A(1) Error reports, ticklers, system operation reports. (Destroy when related actions are completed or when no longer needed, not to exceed 2 years.) GRS 2, Item 22a

434.60A(2) Reports and data used for agency workload and/or personnel management purposes. (Destroy when 2 years old.) GRS 2, Item 22b

434.60A(3) Reports providing fiscal information on agency payroll. (Destroy after GAO audit or when 3 years old, whichever is sooner.) /1/ GRS 2, Item 22c /1/At activities having records holding areas, these files may be, but are not required to be transferred thereto. At activities located in the same metropolitan area as a Federal Records Centers, these files may be transferred thereto after 1 year.

434.60B Payroll change files. Records used to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.

434.60B(1) Copies subject to GAO audit. (Destroy after GAO audit or when 3 years old, whichever is sooner.) /1/ GRS 2, Item 23a /1/See footnote 434.60A(3).

434.60B(2) All other copies. (Destroy 1 month after end of related pay period.) GRS 2, Item 23b

434.61 Individual Withholding and Deduction Authorizations. Excludes tax, levy and garnishment files. Note: When employee transfers, items listed below should be transferred to gaining payroll office when required by ARs in the 35 and 37 series. NN-168-94

434.61A Savings Bond Purchase Files.

434.61A(1) Authorization for Purchase and Request for Change United States Series EE Savings Bonds, SBD 2104, or equivalent. (Destroy when superseded or after separation of employee.) /1/ GRS 2, Item 14a /1/See footnote 434.60A(3).

434.61A(2) Bond registration files: issuing agent's copies of bond registration stubs. (Destroy 4 months after date of issuance of bond.) /1/ GRS 2, Item 14b

/1/See footnote 434.60A(3).

434.61A(3) Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds. (Destroy 4 months after date of issuance of bond.)/1/ GRS 2, Item 14c

/1/See footnote 434.60A(3).

434.61B Combined Federal Campaign. Authorization for individual allotment to the Combined Federal Campaign. (Destroy after GAO audit or when 3 years old, whichever is sooner.)/1/ GRS 2, Item 15a

/1/See footnote 434.60A(3).

434.61C Thrift Savings Plan Election Form. Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan. (Destroy when superseded or after separation of employee.)/1/ GRS 2, Item 16

/1/See footnote 434.60A(3).

434.61D Direct Deposit Sign-up Form, SF 1199A. (Destroy when superseded or after separation.)/1/ GRS 2, Item 17

/1/See footnote 434.60A(3).

434.61E Other allotment authorizations, such as union dues and savings. (Destroy after GAO audit or when 3 years old, whichever is sooner.)/1/ GRS 2, Item 15b

/1/See footnote 434.60A(3).

434.63 Withholding Tax Exemption Certificates. Copies of Internal Revenue Service (IRS) W-4 forms executed by civilian employees. (Destroy 4 years after superseded or obsolete or upon separation of employee.) GRS 2, Item 13a

434.64 Decedent Claims. Documents consisting of retained copies of vouchers with supporting documents, including SF 1152, Designation of Beneficiary - Unpaid Compensation or Deceased Civilian Employee; SF 1153, Claim for Unpaid Compensation of Deceased Civilian Employee; SF 1012, Travel Voucher; payroll change slip, and original documents which are the basis for making non-routine deductions from amounts due decedents. (Destroy after 10 years.) NN-168-94

434.70 Audit Letters. GAO notification of completion of audit of pay and leave accounts with related documents. (Destroy after 2 years or on discontinuance, whichever is first.) NN-168-94

434.71 Individual Pay Record Transmittal Documents. Copies of documents transmitting the individual pay records to the National Personnel Records Center, St. Louis, MO. (Retain in current files area and destroy after 3 years.) NN-168-94

434.72 Payroll Work Files. Correspondence and work papers relating to payroll matters, such as payroll discrepancies, report of balances, recapitulations of payroll data, work or proof sheets, pay or leave information requests, and similar documents. (Destroy when 2 years old.) /1/ GRS 2, Item 24

/1/See footnote 434.60A(3).

434.74 Withholding Taxes. Copies of certifying officer reports to employees of total earnings and taxes withheld and to the Internal Revenue Service of the total income tax deductions withheld. These files also include tax reconciliations, receipts, and related documents. (Destroy after 4 years.)/1/ GRS 2, Item 13/c

/1/See footnote 434.60A(3).

434.75 Savings Bonds Reports. Documents relating to the reporting system for bond sales and purchases, including monthly report of bond deductions, report of bond purchases, bond participation report, and related documents. (Destroy 4 months after date of issuance of bonds.)/1/ GRS 2, Item 14c

/1/See footnote 434.60A(3).

434.77 Health Benefits. Reports, correspondence, transmittal letters, and other documents used in connection with the general administration of controlling and reporting deductions related to the Federal Employees Health Benefits Program. (Destroy after 3 years.)/1/ NN-168-94

/1/See footnote 434.60A(3).

434.80 Unemployment Compensation Data Requests. Documents relating to requests for wage and separation data to be used in connection with unemployment compensation claims. Included are requests for information and replies thereto, notices of determination, notices of refusal of work offer, and related documents. (Retain in current files area and destroy after 2 years.) NN-168-94

434.85 Statement of Charges. Civilian payroll officers' copies of forms used to list charges against civilian personnel in connection with the loss, damage, or destruction of Government property. These include DD Form 362, Statement of Charges/Cash Collection Voucher, and comparable forms. (Retain in current files area and destroy 2 years after settlement.) NN-168-94

434.87 Exception, Claims and Indebtedness. Standard Form 2805, Request for Recovery of Debt Due the United States, Form RET 41-17, Certificate of Settlement of Claims; and similar documents. (Destroy 3 years after final action is terminated.) GRS 2, Item 21

434.89 Pay Tables. Record sets of pay tables supplementing the official Government salary tables. (Destroy on discontinuance of office or activity. Do not retire.) NN-168-94

436 ADJUSTMENTS. Relates to adjustments in accounts due to the loss, un-serviceability, or destruction of property, and determinations of, or release from, pecuniary liability therefor.

436.10 Reports of Survey. Documents concerning the loss, un-serviceability, or destruction of Government property, created to determine the question of pecuniary or other responsibility for the absence or condition of articles, including reports of survey, boards of officers proceedings, control registers, and other related papers. Approved copies of such documents serving as property or fiscal vouchers will be handled as such and thus will not be filed under this number. (Destroy after 10 years, except that Report of Survey Files not involving pecuniary liability will be destroyed 3 years after completion of final action.) NN-168-94

436.20 Charges Collection Records. Case files accumulated in connection with the collection of pecuniary charges against individuals as a result of approved reports of survey or other adjustments procedures. (Destroy 2 years after final action.) NN-168-94

440 COST ACCOUNTING. Relates to the accounting systems devised to record, classify, and summarize costs of material, labor, and overhead incident to the maintenance and operation of installations and activities.

440.01 Cost Accounting. Documents relating to the overall administration of the cost accounting functions. (Destroy when superseded, obsolete, or after 10 years, as applicable.) NN-168-94

440.10 Cost Accounting Procedures. Documents prescribing the methods and procedures for operating the DLA cost accounting systems. (Destroy when superseded or obsolete.) NN-168-94

441 COST ACCOUNTS. Relates to documents forming integral parts of the cost accounts.

441.10 Cost Ledgers. Ledgers recording source data for each cost account, including cost control ledgers and cost detail ledgers. (Destroy after 10 years.) NN-168-94

441.20 Cost Registers. Registers recording cost data by elements of cost and sub-elements of cost, including labor registers, supplies registers, contractual services registers, and other cost registers. (Destroy after 5 years.) NN-168-94

441.30 Cost Vouchers. Documents serving as vouchers to the cost accounts and containing cost summary data, including cost distribution vouchers, cost summary vouchers, civilian labor cost summary vouchers, and similar documents. (Destroy after 5 years.) NN-168-94

441.40 Labor and Workload. Documents containing initial entries of cost data serving as the basis for summary vouchers, including distribution of military payroll, individual time tickets, foreman's daily reports, record of working

time, records of work units, initial summaries of work units, man-hours, and labor costs, distribution of working time, civilian time records, loan slips, labor charges to operating costs, and similar documents. (Destroy after 2 months.) NN-168-94

442 COST ACCOUNTING REPORTS

442.05 Cost Accounting Reports. Documents accumulated from reporting on actual and programmed accomplishments measured in terms of cost, including cost and performance reports and other documents in connection with the preparation or evaluation of the reports. (Destroy after 5 years.) NN-168-94

450 FINANCIAL INVENTORY ACCOUNTING (FIA). Relates to the accounting for property (stocks) in financial terms rather than or in conjunction with quantitative terms.

450.01 FIA. Documents relating to the overall administration of the financial inventory accounting system. (Destroy after 10 years.) NN-168-94

450.10 FIA Procedures. Documents prescribing the methods and procedures for operating the DLA financial inventory accounting system. (Destroy 10 years after supersession or obsolescence.) NN-168-94

451 FINANCIAL INVENTORY ACCOUNTS

451.01 Financial Inventory Accounts. Documents serving as an integral part of the accounts such as category journals, category ledgers, general ledgers, financial inventory control records, financial statements, and related posting media. (Destroy after 10 years.) NN-168-94

452 FIA REPORTS

452.01 FIA Reports. Reports reflecting the financial values of inventories together with related analyses. (Destroy after 10 years.) NN-168-94

455 MATERIEL PRICING

455.01 Materiel Pricing. Documents reflecting the pricing of items, included in the FIA system. (Destroy after 10 years.) NN-168-94

460 AUDITS, REVIEWS, AND SURVEYS. Relates to audits, reviews, and surveys of DLA functions and operations performed by the DoD Inspector General for Auditing, DLA Internal Review Staff, the General Accounting Office (GAO), and congressional staff representatives.

460.01 Audits, Reviews, and Surveys. Documents relating to the overall administration of audits, reviews, and surveys not filed elsewhere in the 460 series. (Destroy after 2 years.) N1-361-87-2

461 INSPECTOR GENERAL (IG) AUDITS

461.10 Inspector General Policies and Procedures. Documents pertaining to policies and procedures for handling contacts with Inspector General auditors and for processing reports of audits, reviews, and surveys. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-87-2

461.20 Inspector General/Reviews/Surveys. Documents pertaining to reviews/surveys of DLA operations performed by Inspector General auditors which are terminated without conducting an audit. (Destroy after 2 years.) N1-361-87-2

461.30 Inspector General Reports. Reports pertaining to audits performed by the Inspector General, including documents accumulated during the review, survey, and audit as well as follow-up documents relating to recommendations.

461.30A HQ DLA Comptroller. (Destroy 2 years after all necessary actions pertaining to the report are completed.) N1-361-87-2

461.30B Other offices. (Destroy 5 years after all necessary actions pertaining to the report are completed.) N1-361-87-2

463 GENERAL ACCOUNTING OFFICE (GAO)

463.10 GAO Policies and Procedures. Documents pertaining to GAO policies and procedures for processing GAO reports of audits, reviews, and surveys. (Destroy when superseded, obsolete, or when no longer needed for reference.) N1-361-87-2

463.20 GAO Reviews/Surveys. Documents pertaining to reviews/surveys of DLA operations performed by the GAO, which are terminated without conducting an audit. (Destroy after 2 years.) N1-361-87-2

463.30 GAO Reports. Reports pertaining to GAO audits, including follow-up documents relating to recommendations contained in the reports.

463.30A HQ DLA Comptroller. (Destroy 2 years after all necessary actions pertaining to the report have been completed.) N1-361-87-2

463.30B Other offices. (Destroy 5 years after all necessary actions pertaining to the report are completed.) N1-361-87-2

470 SURETY BONDING. Documents accumulated from the execution, approval, administration, and termination of bonds covering individuals who by virtue of their positions are required by law or regulation to be bonded.

470.10 Terminated Indemnity Bonds. Original indemnity bonds and related documents furnished by educational institutions for care and safekeeping of Government property and terminated by the return of the property by the institution to DLA. (Destroy 3 years after termination of the bond.) NN-168-94

490 NONAPPROPRIATED FUNDS (NAF). Relates to non-appropriated funds and activities financed thereby, established primarily for morale, welfare, and recreational facilities and activities, such as military messes and clubs, civilian clubs, cafeterias, snack bars, and recreational activities. As an exception to enclosure 2, paragraph 11d, files in this series may be retained in current files areas until eligible for disposal. Documents described in this series which are involved in unsettled claims, incomplete investigations, pending litigation, criminal action, or disciplinary action will not be destroyed until completion of claim, investigation, litigation, or other necessary action.

490.01 Non-appropriated Funds (NAF). Documents relating to the overall administration of NAF matters. (Destroy after 3 years.) NN-168-94

490.05 NAF Establishment. Documents relating to the establishment of non-appropriated funds, establishment of disbursement limitations, appointment of custodians and council members, and establishment of constitutions and bylaws. Included are orders, bylaws, constitutions, and changes thereto, and similar official fund establishment documents. (Destroy on supersession or with related fund account records on dissolution of the fund, as appropriate.) NN-168-94

490.11 NAF Minutes of Meetings. Minutes of meetings of councils and boards of governors appointed to administer non-appropriated funds as prescribed by directives, regulations, constitutions, bylaws, and similar regulatory media. Included are minutes of meetings and directly related documents. (Destroy with accounting fund records related to actions prescribed within the recorded minutes of meetings.) NN-168-94

490.12 NAF Statements and Reports. Financial statements and reports including inspection reports and related documents pertaining to non-appropriated funds prepared by units administering the funds and forwarded to higher headquarters. Excludes copies of statements and reports retained by the preparing activity which will be disposed of in accordance with appropriate standards in this section applicable to non-appropriated fund account files. (Destroy after 1 year, or on discontinuance, whichever is first.) NN-168-94

491.00 NAF ACCOUNTING. Relates to the accounting for non-appropriated funds (NAF) including the pay records of employees of NAF activities.

491.05 NAF Accounts. Documents relating to the receipt, disbursement, and administration of non-appropriated funds, such as Welfare, Unit, Inmate's, Commandant's Sundry, Vocational Training, Chaplain's, Book Department, Officer and Noncommissioned Officer Open Mess, Post Restaurant, Billeting, Flying Club,

Hospital, Army Gift, and similar funds. Included are ledgers, journals, council books, cash receipts, checkbooks, cancelled checks, deposit slips, bank statements, vouchers, invoices, investment records, financial statements and reports safekeeping deposits, petty cash vouchers, petty cash summary vouchers, authorization control records, and other documents constituting an integral part of the accounting system for such funds. (Destroy after 3 years provided an audit has been performed. Once the audit has been completed and 1 year has lapsed, the records will then be destroyed.) NN-168-94

491.10 Subsidiary Records to NAF Accounts. Officers and noncommissioned officers open mess restaurant and mess checks; bowling center score sheets or summaries thereof; check registers; golf course and driving range fee registers; nursery fee registers; bed cards; daily bingo and nursery activity reports; monthly feed, crop production, and farm materials reports, cash register tapes and sales slips; cashier's reports; and similar subsidiary documents. (Destroy after 1 year provided files have been audited, except that bowling center score sheets will be destroyed 1 month after verification.) NN-168-94

491.15 NAF Bank Deposit Insurance. Documents relating to arrangements with the Treasury Department for protection of non-appropriated fund bank deposits which exceed the coverage provided by the Federal Deposit Insurance Corporation. (Destroy when superseded or when account is closed.) NN-168-94

491.17 NAF Securities. Documents reflecting securities and bonds owned by non-appropriated funds. Included are subsidiary ledgers (showing bond type, cost, interest, appreciation, and maturity date) and custody receipts issued by the U.S. Treasury or banking institution. (Destroy 3 years after sale or redemption, except custody receipt will be surrendered to issuing agency at the time of sale or redemption.) NN-168-94

491.18 Check Cashing Privileges. Documents relating to advancing, revoking or suspending, restoring, and general supervision of check cashing privileges. Included are letters to individuals about bad checks, warnings that a recurrence in issuing a bad check may result in withdrawing check cashing privileges; notices from banks that the bank was in error; notices to activities that check cashing privileges have been suspended or restored for certain individuals; and related papers. (Destroy after 3 years, or on discontinuance, whichever is first.) NN-168-94

491.20 Individual Transactions. Documents relating to transactions within DLA, with other Government agencies and employees, and with non-governmental organizations and individuals. Included are purchase orders, contracts, invoices, receiving reports, vouchers, registers, loan contracts, and similar or related documents.

491.20A Documents relating to transactions for more than \$2,500. (Destroy after 6 years.) NN-168-94

491.20B Documents relating to transactions for \$2,500 or less. (Destroy after 3 years.) NN-168-94

491.25 NAF Report of Audit Files. Documents accumulating from audits performed. Included are reports of audit with directly related papers, such as financial statements and correspondence relating to actions taken. (Destroy after 3 years or on discontinuance, whichever is first.) NN-168-94

491.30 NAF Individual Employee Pay Record Files. Documents reflecting all earnings, deductions, adjustments, bond issuances, and similar matters, concerning each individual employee paid from non-appropriated funds. Prior to shipment, documents will be arranged in a single alphabetical order. (Forward to the National Personnel Records Center, 111 Winnebago Street, St. Louis, MO 63118, 18 months after the close of the calendar year or within 90 days after receipt of report of audit, whichever is later. Destroy 56 years after date of last entry or date of last card or other pay document.) NN-168-94

491.31 NAF Employee Leave Files. Individual leave cards, time and attendance reports, applications for leave, and similar documents pertaining to non-appropriated fund employees.

491.31A Final leave records. (Destroy 10 years after separation of individual.) NN-168-94

491.31B Other records. (Destroy after 2 years.) NN-168-94

491.32 NAF Payroll Control. Documents used in controlling pay to employees. Included are time cards, time sheets, time and attendance reports with attached evidence of court or military service, overtime authorizations, copies of notifications of personnel actions, copies of applications for NAF retirement plan and/or group insurance plan, payroll change slips, and other documents used to assure proper payment. (Destroy after 3 years, provided audit has been made and exceptions or irregularities have not been reported.) NN-168-94

491.33 Withholding Tax Exemption Certificates. Copies of Treasury Department (TD Form W-4, Employees Withholding Exemption Certificate) forms executed by civilian employees paid from non-appropriated funds. (Destroy 4 years after supersession of form or termination of employee.) NN-168-94

491.34 NAF Payroll Deductions. Documents authorizing payroll deductions. Included are bond deduction authorizations, health insurance payment deduction authorizations, and similar continuing deduction authorization documents. (Destroy 2 years after separation of employee or cancellation of authorization.) NN-168-94

491.35 Withholding Taxes. Documents reflecting wages withheld from employees earning. Included are reports to employees of total earnings and taxes withheld (TD Form W-2) reports to the Internal Revenue Service of total taxes withheld, and similar documents. (Destroy after 4 years.) NN-168-94

491.36 NAF Authorized Timekeepers. Documents indicating or appointing individuals responsible for timekeeping. Included are lists, memorandums, and communications. (Destroy when superseded or obsolete for any reason.) NN-168-94

491.37 NAF Employee Insurance. Documents relating to the administration of group life, health, and accident insurance programs, and retirement plans for NAF employees. Included are requests for group insurance, agreements, waivers, requests for discontinuance, applications for insurance, beneficiary designations, notices of employment termination, statements of contributions, similar documents, and related papers. (Destroy after termination of involvement by the NAF activity.) NN-168-94

491.40 Position Schedule Bonds. Documents related to fidelity insurance coverages for custodians and employees of non-appropriated funds. Included are official agreements and other bond documents, list of positions covered, list of individuals filling positions, and similar documents. (Destroy when superseded, obsolete, or on discontinuance.) NN-168-94

492 NAF PROPERTY AND SUPPLY. Relates to property and supply matters of NAF activities.

492.05 Physical Inventories. Documents maintained by other than finance and accounting offices reflecting the physical inventory of non-appropriated fund property, supplies, and saleable merchandise. Included are non-appropriated fund property inventory sheets, inventories of food and re-salable merchandise, and periodic inventories by disinterested persons. (Destroy after 2 years.) NN-168-94

492.07 NAF Stock Records. Documents reflecting the receipt, issue, disposition, and quantity of expendable property including supplies and re-salable merchandise. Included are stock record cards, copies of requisitions, receiving reports, issue and turn-in slips, inventory adjustment reports, and similar documents. Stock record cards will be continued in effect until filed or final entry is made thereon. (Destroy after 2 years.) NN-168-94

492.10 NAF Property Records. Documents reflecting the description, value, sources, quantity, location, disposition, and other data on non-expendable property and fixed assets. Included are non-appropriated fund stock, property, and fixed assets cards; similar card forms; supporting documents such as receiving reports, inventory adjustment reports, and other vouchers; and other documents supporting entries to the stock record card.

492.10A Cards with zero balance when there will be no further activity on the item, and filled cards when accounting entries are carried forward to a new card. (Destroy after 2 years.) NN-168-94

492.10B Other documents. (Destroy after 2 years.) NN-168-94

492.15 Concessionaire Operations. Copies of agreements with concessionaires, and documents reflecting the performance of concessionaires. Included are current agreements and associated documents; documents concerning compliance or noncompliance with standards of service, sanitation, and safety; patron complaints and commendations; and related documents. (Destroy 3 years after termination of agreement.) NN-168-94

492.18 Concessionaire Open Applications. Applications submitted by persons desiring to operate an activity on the installation. (Destroy 2 years after individual or activity is no longer considered for operation.) NN-168-94

492.21 Alcoholic Beverage Decalcomania Control. Documents used to control the issue of alcoholic beverage decalcomania. Included are records of issue from stock and related documents. (Destroy after 2 years.) NN-168-94

492.23 NAF Vehicle Registration. Documents relating to the registration of NAF vehicles. Included are applications for NAF vehicle registration, bills of sale or other proof of ownership documents, vehicle registration forms, and related documents. (Destroy upon new registration, or on final disposition of vehicle, as applicable. Note: Registration forms will be forwarded in accordance with AR 230-14.) NN-168-94

492.40 NAF Utility Service Agreements. Documents pertaining to utilities services furnished NAF activities. Included are agreements, modifications, and related documents. (Destroy 2 years after termination of the agreement.) NN-168-94

493 NAF PERSONNEL. Relates to the administration of personnel employed by NAF activities, excluding pay matters covered in the 491.00 series.

493.05 NAF Personnel Reporting. Documents accumulated by non-appropriated fund activities used to furnish Government agencies with information on labor statistics, employment compensation, and similar information. Included are letters, forms, and similar or related documents. (Destroy after 5 years.) NN-168-94

493.10 NAF Official Folders. Documents which reflect qualifications, efficiency, promotion, awards and similar information on an employee paid from non-appropriated funds. Included are official personnel folders. Note: The words "Non-appropriated Fund employee" will appear on each folder label. Retire to the National Personnel Records Center (Civilian), 111 Winnebago Street, St. Louis, MO 63118, 30 days after separation, except as follows:

493.10A Off-duty military personnel. (Destroy 2 years after termination of employment.) NN-168-94

493.10B Non-U.S. citizens residing outside of CONUS, Alaska, Hawaii, but working within CONUS, Alaska, and Hawaii. (Destroy 3 years after separation.) NN-168-94

493.11 NAF Employment Records. Documents reflecting basic data on individual employees such as veteran preference, service computation date, performance ratings, positions held, and similar information. Included are DA Forms 3438. Note: DA Forms 3438 are maintained by the office responsible for administration of NAF personnel programs. (Destroy 15 years after transfer or separation of employee. Cut off inactive files every 5 years.) NN-168-94

493.12 NAF Awards and Commendations. Documents related to submitting, evaluating, and approving or disapproving suggestions, service awards, and commendations of non-appropriated fund employees. Included are approved and rejected suggestions, committee meetings, minutes, lists of employees eligible for awards, copies of letters of commendation, and similar or related documents. (Destroy 5 years after final action.) NN-168-94

493.14 NAF Employee Interviews. Documents used to record counseling interviews and separation interviews. Included are plain cards, ruled cards, punched cards, card forms, and similar or related documents. (Destroy 6 months after transfer or separation of employee.) NN-168-94

493.15 NAF Employment Applications. Documents pertaining to individual seeking employment in the activities financed by non-appropriated funds. Included are applications and related documents. (Destroy after 1 year.) NN-168-94

493.18 NAF Training. Documents reflecting group training of non-appropriated fund employees. Included are training schedules, attendance records, employee evaluation of specific courses, monthly summaries of training activities, and similar or related documents. (Destroy after 5 years.) NN-168-94

493.20 NAF Grievances. Documents related to settling non-appropriated fund employee grievances. Included are committee reports, proceedings, decisions, and similar or related documents. (Destroy 5 years after final decision or 5 years after any action on case after final decision, whichever is later.) NN-168-94

493.25 NAF Position Record Cards. Documents used by non-appropriated fund activities for controlling all occupied and vacant positions. Included are plain cards, ruled cards, punched cards, or card forms; and similar or related documents. (Destroy on discontinuance of position.) NN-168-94

493.26 NAF Organizational Chart Files. Documents indicating positions, grades, and personnel of each organizational segment. Included are charts, tables, and similar or related documents. (Destroy when superseded or obsolete.) NN-168-94

493.27 NAF Ladder Diagram Files. Documents reflecting salary grades and corresponding job titles based on average monthly sales volume. Included are ladder diagrams and similar or related documents. (Destroy when cancelled or superseded.) NN-168-94

493.28 NAF Job Descriptions. Documents used for analysis, evaluation, or development of specific jobs, or to indicate jobs utilized. Included are master job descriptions, extra copies of job descriptions, job standards, and similar or related documents. (Destroy when cancelled or superseded.) NN-168-94

493.29 NAF Personnel Authorizations. Documents authorizing commission rates of pay, per annum rates of pay, overtime, and deviations from established personnel policy and procedure. Included are letters, electrically transmitted messages, and similar or related documents. (Destroy when superseded or obsolete.) NN-168-94

493.30 NAF Wage and Salary Schedules. Documents reflecting wages or salary for a specified grade. Included are schedules or tables, and similar or related documents. (Destroy when cancelled or superseded.) NN-168-94

INSTALLATION SERVICES

500 INSTALLATION SERVICES. This series relates to activity operations and services relating to environmental quality; energy conservation; facility management, including master planning alterations and construction; common centralized administrative services; operating supplies; equipment acquisition, utilization, maintenance; and non-appropriated fund activities.

510 ADMINISTRATIVE SERVICES. Relates to common, centralized administrative services including mail, message, publications, reproduction, administrative procedures, records management, correspondence management, travel, Freedom of Information Act, Privacy Act, graphic arts, library administration, and audiovisual support services.

510.01 Administrative Services Program/Project Files. Documents related to the formulation, management, administration and execution of individual Administrative Services programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-90-01

510.02 Administrative Services Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Administrative Services including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

510.02A HQ DLA. (Destroy after 2 years.) N1-361-90-01

510.02B Other activities. (Destroy after 1 year.) N1-361-90-01

510.10 Forms Management Program. Forms data and history cards, requests for forms approval, and any backup materials pertaining to forms management.

(Destroy when form is discontinued, superseded or canceled.) GRS 16, Item 3(b)

510.12 Forms Master Record Sets. Record copies of each form created with related instructions and documentation showing inception, scope, and purpose of form.

(Destroy 5 years after related form is discontinued, superseded or canceled.) GRS 16, Item 3(a)

510.14 Records Management. Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in the 510 series. (Destroy when 6 years old.) GRS 16, Item 7

510.16 Records Disposition Control. Documents reflecting the transfer of records to records holding areas and records centers such as records shipment lists, records transmittals and receipts, and related correspondence. (Destroy when all documents listed have been destroyed or when no longer needed for reference, whichever is later. Exception: SF 135s related to permanent records may be destroyed after they are offered to the National Archives and are accepted.) GRS 16, Item 2a

510.18 Freedom of Information Act (FOIA) Request Files. Files created in response to requests for information under the Freedom of Information Act consisting of incoming requests, copies of replies, and all related supporting information. Included are requests resulting in full release, withdrawn requests, inadequate description requests and requests with fee defects. (Destroy 2 years after date of reply.) GRS 14, Item 11a(1) and GRS 14, Item 11a(2)(a)

510.20 FOIA Request Denial Files. Documents relating to requests for information under the FOIA in which all or part of the requested record is denied or is not provided due to nonexistence of requested records. Included are the original request, copies of the reply thereto and supporting documentation for denial, and related documents. (Destroy after 6 years if not appealed.) GRS 14, Item 11a(3)(a)

510.22 FOIA Appeal Files. Documents relating to administrative appeals under the provisions of the FOIA. Included are the appellants letter, copy of reply, related supporting documents, and copies of the denied records. (Destroy 6 years after final denial by agency, or 6 years after the time at which a requester could file suit, or 3 years after adjudication by courts, whichever is later.) GRS 14, Item 12a

510.24 FOIA Control Files. Documents maintained for control purposes in responding to requests for release of information. Included are registers, logs, and similar records, case numbers, listing data, nature and purpose of request, and name and address of requester. (Destroy 6 years after date of last entry.) GRS 14, Item 13a

510.28 FOIA Report Files. Documents relating to recurring reports and onetime information requirements relating to agency implementation of the FOIA, EXCLUDING annual reports to Congress. (Destroy when 2 years old.) GRS 14, Item 14

510.30 Privacy Case Files. Documents accumulated in notifying requesters of the existence of records on them, providing or refusing access to or amendment of records, acting on appeals or refusals to provide access or amend records, and providing or developing information for use in litigation. Included are requests, approval and refusal actions, appeals and actions on appeals, coordination action, copies of the requested and amended or un-amended records, statements of disagreement, and related documents.

510.30A Requests totally granted. (Destroy 2 years after date of reply.) GRS 14, Item 21a(1)

510.30B Requests totally or partially denied and not appealed. (Destroy 5 years after date of reply.) GRS 14, Item 21a(3)(a)

510.30C Requests totally or partially denied and appealed. (Destroy 4 years after final determination by agency or 3 years after final adjudication by courts, whichever is later.) GRS 14, Item 21a(3)(b)

510.32 Privacy Act Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester. (Destroy 5 years after date of last entry.) GRS 14, Item 24

510.34 Accounting or Privacy Act Disclosure Files. Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable. (Hold for the life of the disclosed record or destroy 5 years after date of disclosure, whichever is later.) GRS 14, Item 23

510.36 Privacy Act General Administration Files. Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records. (Destroy when 2 years old.) GRS 14, Item 26

510.38 Reports of Systems of Records. Documents relating to the preparation, coordination, and submission of reports, system notices, and exemption rules for proposed new systems of records or changes to existing systems. Included are system reports, including Office of Management and Budget (OMB) and Congressional comments on them; copies of system notices and exception rules and public comments on them; coordination actions; and related documents. (Destroy 2 years after discontinuation of the system of records or on disapproval of a system.) N1-361-90-01

510.40 Privacy Act Report Files. Documents consisting of recurring reports and onetime information requirements relating to agency implementation of the Privacy Act. Included are annual reports to OMB and Congress, similar reports, and related documents.

510.40A Annual reports prepared by office performing DLA-wide responsibility. (Permanent. Transfer to National Archives in 5- year blocks when 30 years old.) N1-361-90-01

510.40B Other reports. (Destroy after 2 years.) GRS 14, Item 25

510.42 Publication Master Record Sets and Authentications. Publications master record sets, and related background concurrence documents and correspondence. Master copies of typing layouts for publications, regulations, and other official documents. (Permanent - One copy of each publication should be designated the record copy. Transfer to the National Archives in 5-year blocks when 20 years old.) N1-361-90-01

510.44A and B. Superseded. Use 513.20A and 513.20B.

510.48 Committee Management Program Administration. Copies of committee charters, letters of appointment, records relating to the establishment,

organization, membership, and policies of internal committees. (Destroy 2 years after termination of committee.) GRS 16, Item 8a

510.50 Library Control. General reference books, technical manuals, card indexes, temporary charge out records, video recordings, and library related references. (Destroy when superseded, obsolete, or no longer needed, whichever is sooner.) N1-361-90-01

510.51 General Travel and Transportation Files.

510.51A Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation. (Destroy when 2 years old.) GRS 9, Item 4a

510.51B Accountability records documenting the issue or receipt of accountable documents. (Destroy 1 year after all entries are cleared.) GRS 9, Item 4b

510.52 Travel. Travel authorizations, transportation requests, logs, clearances and similar documents used in providing and administering passenger transportation services for official travel.

510.52A Issuing office memorandum copies of government or commercial bills of lading, commercial transportation vouchers and transportation requests, travel authorizations, and supporting documents. (Destroy 6 years after the period of the account.) GRS 9, Item 1c

510.52B Unused ticket redemption forms, such as SF 1170, Redemption of Unused Tickets, or comparable records. (Destroy 3 years after the year in which the transaction is completed.) GRS 9, Item 1e

510.53 Reimbursable Travel Files. Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.

510.53A Travel administrative office files. (Destroy when 6 years old.) GRS 9, Item 3a

510.53B Obligation copies. (Destroy when funds are obligated.) GRS 9, Item 3b

510.54 Reports of Survey Control. Reports of survey, control registers, survey certificates, and related documentation concerning the loss, un-serviceability or destruction of government property. (Destroy after 2 years or when no longer needed for reference.) N1-361-90-01

510.56 U.S. Savings Bond and Fund Raising Campaigns. Documents, forms, correspondence, campaign, and participation reports relating to the sale of U.S. Savings Bonds and other fund raising campaigns. (Destroy after 3 years.) GRS 23, Item 7

510.58 Special Mail Handling. Registered, certified, overnight express, and special delivery receipts and signatures, logs, magnetic tape receipts. (Destroy after 1 year.) GRS 12, Item 6

510.59 Metered Mail Records. Official metered mail reports and all related information. (Destroy when 6 years old.) GRS 12, Item 7

510.60 Typesetting Services. Written communications developed on an automatic typing system received for typesetting, a diskette file register, floppy diskettes, backup tapes.

510.60A Diskettes. (Delete information after it has been transferred to backup tape and verified.) N1-361-90-01

510.60B Backup tape. (Delete information when identical records have been transferred to National Archives and successfully copied, or when replaced by a subsequent backup tape.) N1-361-90-01

510.62 Messenger Services. Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related messenger services documentation. (Destroy after 2 months.) GRS 12, Item 1

510.64 Micrographics Systems. Systems proposals and documentation relating to micrographics. (Destroy 1 year after system termination or disapproval of the proposal.) N1-361-90-01

510.66 Morale, Welfare and Recreation. Documents relating to morale, welfare, and recreation matters and activities sponsored, monitored, or publicized in the interests of employees. Excluded are the actual records of clubs or functions operated with non-appropriated funds; see 490.00 series. (Destroy after 3 years or when obsolete, superseded, or no longer needed, whichever is sooner.) N1-361-93-9

510.68 Child Records. Non-electronic individual records maintained for each child enrolled at the CDC. Each file will contain the following records: registration forms; parent consent forms; health records to include health assessments, immunization records, medical power of attorney, medical dispensation records; allergy information; any restrictions or special precautions concerning diet, medication, or allergies; child and family profile; reports of unusual occurrences, parent complaints, parent conference data, illness, injury, communicable diseases; reports of serious accident, injury, or unusual occurrence requiring emergency consultation or treatment at a medical treatment facility; and related records.

510.68A Child records with no serious accident or injury requiring emergency consultation or treatment.

510.68A(1) Child Development Center. (Maintain records as long as a child is enrolled. Upon termination from the program, forward records to Child Development Services Coordinator.) N1-361-99-2

510.68A(2) Child Development Services Coordinator. (Upon receipt of records from Center, place in inactive file. Cutoff annually. Destroy 1 year after child no longer attends CDC.) N1-361-99-2

510.68B Child records with serious accident or injury requiring emergency consultation or treatment.

510.68B(1) Child Development Center. (Upon termination from the program, forward records to Child Development Services Coordinator.) N1-361-99-2

510.68B(2) Child Development Services Coordinator. (Upon receipt of records from Center, place in inactive file. Cutoff annually. Destroy 3 years after incident or 1 year after child no longer attends CDC, whichever is later.) N1-361-99-2

510.68C Electronic version or records created by electronic mail, word processing, and other office automation applications, such as spreadsheet and presentation applications. (Delete after recordkeeping copy has been produced.) N1-361-99-2

510.70 CDC Employee Records. Individual personnel files for each CDC employee. Includes name and address, telephone number, training, and other related experiences; employment references, verification of background checks, and medical examinations; job performance standards; copies of appraisals, awards and promotions, and grievance actions; copies of notifications of personnel actions; training records including Individual Education Plan (IEP) forms; counseling statements as appropriate. NOTE: This category does not include official personnel files of appropriated fund or non-appropriated fund employees maintained under the 300 series and 490 series, respectively.

510.70A CDC employee background check records. Maintain separately with office responsible for personnel security clearances.

510.70A(1) Personnel Security Folders. Copies of requests for and certificates personnel security clearance related transactions, and certificates of security briefing/debriefing, authorized for maintenance by Command Security Officers, and superseded forms serving related purposes; documents pertaining to limited access authorizations; case resumes and other documents relating to the processing of security clearances. Includes comparable transcripts of data in lieu of retaining copies of documents.

510.70A(1)(a) Upon transfer to another DLA activity. (Forward to gaining activity.) N1-361-91-7

510.70A(1)(b) Upon separation or transfer to a non DLA organization. (Place in inactive file, cut off at end of calendar year, retain in current files area, and destroy after 2 years.) N1-361-91-7

510.70A(2) Case resumes of reports of investigation, when relating to cases where derogatory information is involved, including documents reflecting actions taken and copies of documents similar to those described in subparagraph 510.70A(1) above. Records documenting personnel clearances by HQ DLA will have the same disposition as similar records described. (Upon separation, place remaining documents in inactive file, cut off at end of calendar year, retain in a current files area, and destroy after 2 years.) N1-361-91-7

510.70B Other CDC employee records. (Maintain at Child Development Center. Destroy 3 years after termination of employment.) N1-361-99-2

510.70C Electronic version of records created by electronic mail, word processing and other office automation applications, such as spreadsheet and presentation applications. (Delete after recordkeeping copy has been produced.) N1-361-99-2

510.72 Child Care Operations

510.72A Registers. Automated or manual system(s) used to capture patron reservations, daily attendance records, fee collection, sign-in/out of patrons, and related records. (Destroy after 3 years.) N1-361-99-2

510.72B Activities. Records such as developmental activity schedules for age-group categories, courses of instruction, approved lesson plans detailing weekly activities for children, and similar records. (Destroy after 3 years.) N1-361-99-2

510.72C Reports. Copies of annual CDC program reports provided to higher HQ with related background materials used in report preparation, facility inspection reports, certification inspections, and related records. (Destroy after 3 years.) N1-361-99-2

510.72D Electronic version of records created by electronic mail, word processing and other office automation applications, such as spreadsheet and presentation applications. (Delete after recordkeeping copy has been produced.) N1-361-99-2

513 DEFENSE AUTOMATED PRINTING SERVICE (DAPS). Relates to Printing, Binding, Duplication, Distribution, and Automated Document Management Records. This record series provides for the disposal of all copies, wherever located in the agency, or records relating to printing, binding, duplication, distribution, and automated document management except as indicated. The principal records documenting these functions are (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions and to record the production, distribution, and cost analysis of the unit responsible for handling, printing, binding, duplication, distribution, and automated document management matters within the agency; and (b) correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, distribution, and automated document management matters with the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying these disposition instructions. Not covered are the record copy of printed material; records retained by agencies for onsite audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers accounts records that reflect agency programs (such as those of the Government Printing Office and the Bureau of Engraving and Printing), rather than administrative

management functions. All records described in this series are authorized for disposal in both hard-copy and electronic forms.

513.02 Administrative Correspondence Files. Correspondence files pertaining to the Administration and operation of the unit responsible for printing, binding, duplication, distribution matters, and automated documents management matters, and related documents. (Destroy when 2 years old.) N1-361-98-2

513.20 Project Files. Job or project records containing information relating to planning and execution of printing, binding, duplication, distribution, and automated document management jobs. NOTE: This record series does not cover the publications themselves. One copy of each publication should be designated the record copy and scheduled for transfer to the National Archives in accordance with record series 510.42. Extra copies are nonrecord and may be destroyed when no longer needed.

513.20A Records pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents exclusive of requisitions on the Public Printer and related records; and records relating to services obtained outside the agency. (Destroy 1 year after completion of job.) N1-361-98-2

513.20B Records pertaining to planning and other technical matters. (Destroy when 3 years old.) N1-361-98-2

513.30 Control Records. Control registers pertaining to requisitions and work orders. (Destroy 1 year after close of fiscal year in which compiled or 1 year after filling or register, whichever is applicable.) N1-361-98-2

513.40. Mailing Lists

513.40A Correspondence, requests forms, and other records relating to changes in mailing lists. (Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.) N1-361-98-2

513.40B Card lists. (Destroy individual cards when cancelled or revised.) N1-361-98-2

513.50 JCP Reports Records. Reports to Congress and related records.

513.50A. Agency report to Joint Committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage. (Destroy when 3 years old.) N1-361-98-2

513.50B Copies in subordinate reporting units and related work papers. (Destroy 1 year after date of report.) N1-361-98-2

513.60 Internal Management Records. Records relating to internal management and operation of the unit. (Destroy when 2 years old.) N1-361-98-2

515 VISUAL INFORMATION (VI) RECORDS. Relates to technical and logistical aspects of programs and functions involving DLA exhibits, VI productions, graphic presentations, photography, training aids, and audiovisual support of DLA. Excluded are graphs, charts, recordings, and similar materials which have served their initial purpose and are retained as technical material for potential reuse and thus filed under 110.28, Specialized and Technical Reference Materials.

"Destroy" is used to authorize the destruction of data or information. Erasable media such as audio and video tapes should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with DoD 4160.21-M, Defense Reutilization and Marketing Manual.

515.10 Visual Information Production Files. VI production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records. Includes copies of production contracts, scripts, transcripts, and appropriate documentation bearing on the origin, acquisition, release, and ownership of the production. (Dispose of according to the instructions covering the related VI records.) N1-361-90-01

515.13 Finding Aids. Finding aids such as data sheets, shot lists, catalogs, indexes, review sheets, lists of captions, and other textual documentation necessary for the proper identification, retrieval, or use of VI records. (Dispose of according to the instructions covering the related VI records.) N1-361-90-01

515.16 Request for Visual Information Service. Requisitions and other requests for the production of, the use, or information relative to the various items of VI presentations and service. (Destroy after 1 year.) N1-361-90-01

515.20 Still Photography That Does Not Reflect the Mission of DLA. Includes photographs of routine award ceremonies, social events, and activities not related to the mission of DLA. (Destroy when one year old.) GRS 21, Item 1

515.22 Still Photography Pertaining to DLA Missions. Includes official portraits of senior agency officials; agency publications, exhibitions, or other media productions; documentary photographs shot for fact-finding purposes, research and development, or other studies; photographs, slides, or filmstrips that depict the program or mission of DLA. Note: Record Sets consist of: Black and white photographs (original negative and a captioned print), color photographs (original color transparency or color negative, a captioned print, and an internegative if one exists), slide sets (original and a reference set, and the related audio recording and script if one exists), filmstrips (original and a reference print). (Permanent. Transfer directly to the National Archives when no longer needed or in 10 years, whichever is sooner.) N1-361-90-01

515.25 Personnel Identification or Passport Photographs. (Destroy when five years old or when superceded or obsolete, whichever is later.) GRS 21, Item 2

515.30 Overhead Transparencies (Viewgraphs). (Destroy one year after use.) GRS 21, Item 5

515.31 Routine Artwork. Used for handbills, flyers, posters, letterhead, and other graphics. (Destroy when no longer needed for publication or reprinting.) GRS 21, Item 6

515.34 Photo-mechanical Reproduction. Line and halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction. (Destroy when no longer needed for publication or reprinting.) GRS 21, Item 7

515.37 Line Copies of Graphs and Charts. (Destroy when no longer needed for publication or reprinting.) GRS 21, Item 8

515.38 Posters Distributed Agency-wide or to the Public. Record set is two copies. (Permanent. Transfer 2 copies of each poster to National Archives when produced by shipping the posters flat or in tubes to the Still Pictures Branch (NNSP), National Archives, Washington, DC 20408.) N1-361-90-01

515.39 Original Artwork. Original drawings, sketches, paintings and similar materials used to produce reproductions, prints and copies. (Destroy after reproduction of original has been completed or when no longer needed.) N1-361-90-01

515.46 Training Productions. Internal personnel and administrative training productions and slides of programs that do not reflect the mission of DLA. (Destroy one year after production is determined obsolete.) GRS 21, Item 3

515.50 Productions and Programs Acquired from Outside Sources for Personnel and Management Training. (Destroy one year after completion of training programs.) GRS 21, Item 9

515.52 Agency-sponsored Productions Pertaining to DLA Missions. Record set: Motion picture - original negative or color original plus separate optical sound track; intermediate master positive or duplicate negative plus optical track; and sound projection print. Video recording - Original or earliest generation video recording. A kinescope of the recording may be substituted. (Permanent. Transfer directly to the National Archives when no longer needed or in 10 years, whichever is sooner.) N1-361-90-01

515.55 Internal Personnel and Administrative Training Productions That Do Not Reflect the Mission of DLA. These include "role play" sessions, management and supervisory instruction, etc. (Destroy one year after completion of training program.) GRS 21, Item 3

515.58 Deleted - GRS Transmittal 8 determined to be non-record material.

515.61 Recordings of Meetings. Made exclusively for note-taking or transcription. (Destroy immediately after use.) GRS 21, Item 22

515.64 Dictation Belts or Tapes. (Destroy immediately after use.) GRS 21, Item 23

515.67 Pre-mix Sound Elements created during the course of a motion picture, television, or radio production. (Destroy immediately after use.) GRS 21, Item 24

515.70 Exhibit and Demonstration Backup Material. Documents reflecting planned exhibit itineraries, policy on logistical support, programming data, new trends, methods and approaches, commitment papers, exhibit fact sheets, and similar material. (Destroy after 3 years.) N1-361-90-01

520 OPERATING EQUIPMENT. Relates to the administration of operating equipment maintenance and consolidated equipment pools.

520.01 Operating Equipment Program/Project Files. Documents related to the formulation, management, administration and execution of individual Operating Equipment programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-90-01

520.02 Operating Equipment Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Operating Equipment including interpretations and decision applicability, requests for waivers and exceptions, data call and periodic reporting, and similar documents not covered elsewhere

520.02A HQ DLA. (Destroy after 2 years.) N1-361-90-01

520.02B Other activities. (Destroy after 1 year.) N1-361-90-01

520.10 Equipment Management. Documentation consisting of equipment requests and requirements, installation planning papers, historical equipment utilization documents, mission requirement interpretations, customer feedback notations, computer listings, and related papers. (Destroy after 1 year.) N1-361-90-01

520.14 Plans and Procedures. Documents outlining programs and reporting procedures for supervisors and staff to execute the equipment mission, schedules, work orders, and related papers providing guidance on manpower deployment, preventive maintenance, and work request execution. (Destroy after 1 year or when no longer needed for reference.) N1-361-90-01

520.18 Equipment Utilization. Records of equipment use, maintenance, servicing, repair and modifications physically maintained with each equipment item. (Destroy upon final disposition of related equipment.) N1-361-90-01

520.22 Equipment Performance. Charts and graphs reflecting status for job orders, cost performance and related operational activities. Documents define frequency and duration of data collections, establishes desired reporting formats, and directs performance related data. (Destroy after 1 year.) N1-361-90-01

520.26 Equipment Administration. Documents relating to the administration of equipment including descriptions, specifications, justifications and requests for equipment acquisition. (Destroy after 5 years.) N1-361-90-01

520.30 Equipment Servicing. Documents relating to methods, responsibilities, and performance of equipment preventive maintenance, servicing, inspections, and checks of work in progress on equipment. (Destroy after 1 year or when no longer needed for reference, whichever is later.) N1-361-90-01

520.34 Product Warranties. Guarantees for equipment and parts specified in procurement contracts. (Destroy after expiration of product guarantee.) N1-361-90-01

520.38 Equipment Acquisition. Statements of work, purchase requests, quality acceptance criteria, certification of funds and related material required for acquisition of equipment. (Destroy after 2 years.) N1-361-90-01

520.42 Equipment Requirements. DLA Form 1475, Operating Equipment Requirements, and reports of operating equipment. (Destroy after 3 years or when no longer needed for reference.) N1-361-90-01

520.46 Supply Requests. Documents related to supply and material requirements. (Destroy after 1 year.) N1-361-90-01

520.50 Tools and Equipment. Documents related to the authorization for the procurement of tools and equipment, developed controls and accountability records. (Destroy after 1 year.) N1-361-90-01

523 EQUIPMENT POOL. Relates to the operation and provision of operating equipment and passenger services for the activity.

523.10 Equipment Pool Management. Papers related to providing heavy cargo, personnel, and material transport vehicles, and drivers throughout the base. (Destroy after 3 months.) N1-361-90-01

523.20 Schedules and Controls. Papers related to the administration of manpower and equipment for the accomplishment of material movement for the mission, records of fuel use, meters, off base miles, downtime, preventive and unscheduled maintenance, and percentage availability data. (Destroy after 1 year.) N1-361-90-01

523.25 Vehicle/Equipment Operator Files. Records relating to individual employee operations of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence. (Destroy 3 years after separation of employee or 3 years after rescission of authorization to operate Government-owned vehicles, whichever is sooner.) GRS 10, Item 7.

523.30 Equipment Utilization. Equipment utilization forms, DD Form 1970, Motor Equipment Utilization Records. (Destroy after 3 months.) N1-361-90-01

523.40 Furnished Services. Papers related to the assignment and use of rigging and crane support services and equipment to base activities. (Destroy after 1 year or when no longer needed for reference.) N1-361-90-01

523.50 Equipment History. Documents and papers that provide a history of individual pieces of equipment. Included are specifications, contracts, acceptance tests, description of unit, lubrication and servicing plans, modifications, maintenance and repair, and test and inspection records. (Destroy when equipment item has been disposed of.) N1-361-90-01

526 MECHANIZED SYSTEMS MAINTENANCE. Relates to preventive maintenance and repairs of automated and mechanized materials handling systems.

526.10 Preventive Maintenance. Documents relating to preventive maintenance functions including frequencies, servicing, inspection, and associated methods, techniques and responsibilities. (Destroy after 1 year.) N1-361-90-01

526.30 Warehouse Equipment. Documents relating to the maintenance, repair, renovation and erecting of miscellaneous warehouse storage equipment. (Retain on historical record.) N1-361-90-01

526.50 Work requests. Internal work requests authorizing or directing shop operations and related information tracking work requests to completion. (Destroy after 1 year.) N1-361-90-01

530 BASE SUPPLY. Relates to the administration of base procurement and similar support of the installation and includes supply records documenting the acquisition of goods and services, controlling on-hand stock volumes, reports of procurement needs and related supply matters. (Also see series 810.00.)

530.01 Base Supply Program/Project Files. Documents related to the familiarization, management, administration, and execution of individual Base Supply programs/projects such as program plans, studies and analysis, reports, letter guidance, documentation, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-90-01

530.02 Base Supply Correspondence Files. Documents providing general documentation, staff guidance and reporting in the management and administration of Base Supply operations including interpretations and decisions on applicability, requests for waivers and exceptions, data calls, periodic reporting and similar documents not covered elsewhere.

530.02A HQ DLA. (Destroy after 2 years.) N1-361-90-01

530.02B Other activities. (Destroy after 1 year.) N1-361-90-01

530.10 Supply/Equipment Order Forms/Listings. Forms providing a list of supplies ordered, providing records of equipment purchases, lists of equipment ordered from a particular vendor, equipment ordered by organizations, related forms and documents which list purchase request and supplies ordered providing vendors, terms, delivery dates, source, etc.

530.10A Transactions under \$25,000. (Destroy 3 years after final payment.) N1-361-90-01

530.10B Transactions over \$25,000. (Destroy after 6 years and 3 months after final payment.) N1-361-90-01

530.50 IMPREST Fund. Documents which provide a list of items ordered and IMPREST Fund expenditures, and related cashier reimbursement vouchers. (Destroy after 2 years.) N1-361-90-01

534 STOCK CONTROL. Relates to the establishment, maintenance and review of non-mission supply requirements for the activity.

534.10 Stock Requirements. Documents which provide a report of new stock requirements, and listings of potential stock items. (Destroy when no longer needed for reference.) N1-361-90-01

534.14 Balance File. Forms which record the status of base supply balances, listed by National Stock Number, location of supplies, and item manager, respectively; and reports providing identification of items stocked. (Destroy when superseded.) N1-361-90-01

534.18 Supply/Equipment Requisition. Forms, property records, equipment justifications, order documents which relate to the request or order of supplies and equipment. (Destroy when obsolete.) N1-361-90-01

534.22 Supply/Equipment Withdrawals. Forms, screeners tally request to freeze excess/surplus property, copies of order documents, shipping documents, requisitions and invoices, and copies of equipment justifications which relate to the withdrawal of supplies and equipment. (Destroy after 60 days.) N1-361-90-01

534.26 Voucher Register. Voucher register forms. (Destroy after 1 year.) N1-361-90-01

534.30 Receiving. Copies of supply or services order forms, and shipping documents containing data required for processing receiving reports. (Destroy when superseded.) N1-361-90-01

534.34 Excess Supplies and Equipment. Issue receipt documents, copies of shipping documents, reports of excess property; and correspondence, which contain information pertinent to the declaration of excess supplies and equipment. (Destroy after 1 year.) N1-361-90-01

534.38 Supply/Equipment Returns. Standard return forms, and equipment transfer or return forms which contain information regarding the return of excess supplies and/or equipment. (Destroy when no longer needed.) N1-361-90-01

534.42 Fuel Products Inventories. Documents relating to monthly inventories of fuel products, base operating support system balance records, inventory

adjustment vouchers, and inventory reconciliation logs. (Destroy after 3 years.) N1-361-90-01

534.46 Equipment Inventories. Correspondence requesting hand receipt inventories. (Destroy when superseded.) N1-361-90-01

534.50 Petroleum Prices. Documentation prepared and maintained reporting standard prices for bulk petroleum prices. (Destroy when conditions of contract have been met.) N1-361-90-01

534.54 Publications and Forms Distribution. Forms establishing initial distribution and continued stock level maintenance of publications and forms. Forms in this file include publication/form requirement/multi-use requirement requisitions, specifications and standards requisition, subscription change sheets, requisition and requirement requests, and technical order publications requirement tables.

534.54A DASC Visual Communications. (Destroy after 3 months.) N1-361-90-01

534.54B Other offices. (Destroy when no longer needed.) N1-361-90-01

534.58 Publications and Blank Form Stock Records. Control records or cards maintained to assure maintenance of stocks on-hand sufficient to meet requirements. (Destroy after card is filled, or on supersession, rescission, or obsolescence of items indicated thereon, whichever is sooner.) N1-361-90-01

534.62 Supply Loss/Damage. Office initiated reports of survey forms recording the loss, damage or destruction of stocked supplies/equipment, control registers, authorizations for release of equipment or vehicles for repair. (Destroy after 3 years.) N1-361-90-01

534.66 Equipment Records. Correspondence and forms which account for non-expendable property issued to hand receipt accounts. Forms documenting equipment records which include turn-ins, issues, master hand receipt listings by class codes, stock numbers, or issues and turn-ins. Correspondence relating to changes for station property hand receipts. (Destroy when superseded.) N1-361-90-01

534.70 Furniture Requirements. Forms which document justifications for replacement or purchase of additional equipment. (Destroy 1 year after receipt of item.) N1-361-90-01

534.74 Furniture Orders. Forms used for the order of supplies or services; and copies of contracts which document the ordering of furniture items. (Destroy after 3 years.) N1-361-90-01

540 FACILITIES ENGINEERING. Relates to the operation, maintenance, and repair of real property facilities and installed equipment; preparation of master plans components and military construction programs; engineering projects; provision of custodial, sanitation, and entomology services, fire prevention and protection services; maintenance, repair and improvement of military family housing.

540.01 Facilities Engineers Program/Project Files. Documents related to the formulation, management, administration, and execution of individual Facilities Engineering programs/projects such as program plans, studies and analyses, reports, letter guidance and direction and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-90-01

540.02 Facilities Engineers Correspondence Files. Documents providing general direction, staff guidance, and reporting in the management and administration of Facilities Engineering including interpretations and decision applicability, requests for waivers and exception, data call and periodic reporting, and similar documents not covered elsewhere.

540.02A HQ DLA. (Destroy after 2 years.) N1-361-90-01

540.02B Other activities. (Destroy after 1 year.) N1-361-90-01

541 ENGINEERING, CONSTRUCTION AND RESOURCES MANAGEMENT. Relates to engineering services for construction programs and real property projects and contract inspections.

541.10 Engineering Services. Documents, correspondence and related materials depicting progress made for each active construction or real property project. (Destroy 3 years after completion of project or when no longer needed for reference.) N1-361-90-01

541.13 Vendor Brochures and Catalogues. Vendor brochures and catalogues which provide guidance to engineers for determining design of projects. (Destroy when obsolete or no longer needed.) N1-361-90-01

541.16 Military Construction Projects. Records and documentation relating to engineering services for military construction programming and project preparation of Congressionally approved projects. (Maintain in current files indefinitely. Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.) N1-361-90-01

541.19 Inspection and Execution. Copies of architect and engineer contracts, related correspondence and reference papers, documentation relating to re-work. Includes documentation on water systems, replacement windows, and painting. (Destroy 7 years after close of contract.) N1-361-90-01

541.22 Open Purchase Requests. Copies of documents relating to open purchase requests for contracts requesting services by outside contractors. (Destroy after 10 years.) N1-361-90-01

541.25 Engineering Contract Records. Copies of original estimates, cost procurement specifications, logs, and related records tracking all contracts from inception to work completion, excluding Contracting Officer Representative (COR)/Contracting Officer Technical Representative (COTR) actions (see 110.73). (Destroy on completion of contract, or when no longer required for reference, whichever is later.) N1-361-90-01

541.28 Annual Contract Research and Analysis. Copies of contract records for custodial services, refuse services, painting, and maintenance. (Destroy 3 years after completion of contract.) N1-361-90-01

541.31 Plans and Specifications Studies and Reports. Studies and reports pertaining to drainage, handicap facilities design, asbestos removal and related items that provide the legal and technical basis for preparation and design of contracts. (Destroy when no longer needed, obsolete, or superseded.) N1-361-90-01

541.34 Mobilization Plan. Five-year Engineering Mission Mobilization Plan. (Destroy when superseded.) N1-361-90-01

541.37 Historical Building File. Drawings and blueprints of the Center from initial construction to present. (Maintain in current files indefinitely. Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.) N1-361-90-01

541.40 Real Property Master Plan. Facilities planning 5-year master plan and documentation related to analysis of existing facilities. Includes the annual energy budget with supporting documentation and concept design reports. (Maintain in current files indefinitely. Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.) N1-361-90-01

541.43 Construction Program Coordination. Copies of purchase requests and closed completed contracts; log books; building maintenance contracts concerning painting, repairs, paving and family housing maintenance. (Destroy after 10 years.) N1-361-90-01

541.46 Pollution Studies. Test reports, studies, memorandums, regulatory agency documents relating to the abatement of air, water, land, and other pollution.

541.46A DLA Office of Environment and Safety Policy. (Retain in current files area. Destroy after 5 years.) N1-361-90-01

541.46B Other offices. (Destroy after 3 years.) N1-361-90-01

541.49 Military Construction Plans. Installation master plan and related documents and correspondence. (Destroy when obsolete or superseded.) N1-361-90-01

541.52 Building Records. Building record files, real property record cards, requests for approval and disposal of buildings and improvements, documentation related to the transfer and acceptance of military real property. (Destroy 10 years after transfer or disposal of building.) N1-361-90-01

541.55 Work Plans. Documents, correspondence, study results, and reports used for preparation of work plans. (Destroy after 5 years.) N1-361-90-01

541.58 Real Property Economic Studies. Copies of real property maintenance contracts recording repairs or alterations to buildings or new construction. (Destroy when obsolete.) N1-361-90-01

541.61 Operations and Maintenance Resources. Operations and maintenance budgets and related documentation, studies and analysis results which support facility engineering resources and funding requirements. (Destroy after 1 year.) N1-361-90-01

541.64 Work Status and Backlogs. Charts, graphs, and spreadsheets indicating status and backlog of work. (Destroy when superseded.) N1-361-90-01

541.67 Supplies. Equipment requests, hand receipts, and supply orders. (Destroy after 1 year.) N1-361-90-01

541.70 Supply Orders. Blanket purchase agreements, supply charge accounts listed by vendor, and related documentation. (Destroy after 3 years.) N1-361-90-01

541.73 Fiscal Year Program Analysis. Historical report with backup material and related documentation. (Destroy after 3 years.) N1-361-90-01

541.76 Material Coordination. Service order calls (less than \$1000 and 40 work hours), standing operating orders, and work orders (over \$1000 and 40 work hours). (Destroy after 3 years.) N1-361-90-01

541.79 Real Property Leases. Real property leases, documentation on easements and leases right-of-way. (Destroy when obsolete or superseded.) N1-361-90-01

541.82 Real Property Control. Real property utilization studies and reports, documents related to real property availability, preliminary Corps of Engineer reports. (Destroy when lease is no longer valid.) N1-361-90-01

541.85 Real Property Inventories. Real property inventories and related documents pertaining to military and civilian property which include reports, studies, and ledgers. (Destroy after 10 years.) N1-361-90-01

543 BUILDINGS AND GROUNDS. Relates to maintenance and repair of buildings, roads, airfields, railroads, grounds, wildlife areas, and related engineering equipment; entomology, pest control, and custodial services; packing/crating of supplies and equipment, and household goods.

543.10 Service Orders. Service order forms for maintenance work or inspection involving costs less than \$1000 and 40 work-hours. (Destroy after 2 years.) N1-361-90-01

543.20 Operating Orders. Standing operating order forms pertaining to maintenance and repairs. (Destroy after 1 year.) N1-361-90-01

543.30 Job Orders and Estimates. Individual job order forms tracking labor, equipment, and material costs. Job estimate sheets provided by the engineering contracting and resource management office containing estimates of labor, materials, equipment, and direct costs for performance of service. (Destroy after 3 years.) N1-361-90-01

543.40 Pest Control. Pest control plans, pest management reports, quarterly reports of subsistence items on Center, individual job orders and documentation relating to the fumigation of railroad cars, quarters and outdoor fumigations. (Destroy after 3 years.) N1-361-90-01

543.50 Work Schedules. Weekly work schedules and records of work performed and work-hours expended. (Destroy after 1 year.) N1-361-90-01

543.60 Preventive Maintenance/Self-Help. Forms, correspondence, and documentation relating to providing family housing and/or office occupants with preventive maintenance and self-help maintenance tools, equipment, materials, and supplies. (Destroy after 1 year.) N1-361-90-01

543.70 Buildings and Grounds Inventories. Documents pertaining to roads and grounds or buildings maintenance that consists of an inventory of accountable Government property. (Destroy when obsolete or no longer needed.) N1-361-90-01

547 FIRE PREVENTION AND PROTECTION. Relates to activities pertaining to the prevention of fires, extinguishing fires, and protection of life and property from the threat of fires.

547.10 Safety Hazards. Correspondence and meeting minutes relating to the identification and recording of potential safety hazards and recommendations for correction. (Destroy after 1 year.) N1-361-90-01

547.14 Fire Prevention and Protection Equipment. Pamphlets, catalogs, and papers containing information for ordering equipment parts and maintenance products; manufacturer provided information on equipment warranties; checklists and inspection lists identifying equipment and supplies as accounted for and in serviceable condition; hand receipts and records pertaining to the issuance of Government equipment and property. (Destroy when obsolete or no longer needed.) N1-361-90-01

547.18 Equipment Warranties. Manufacturer provided information on equipment warranties. (Destroy when no longer needed.) N1-361-90-01

547.22 Equipment Maintenance. Checklists and inspection lists identifying equipment and supplies as accounted for and in serviceable condition. (Destroy when obsolete or no longer needed.) N1-361-90-01

547.26 Equipment Control. Hand-receipts and records pertaining to the issuance of Government equipment and property. (Destroy when no longer needed.) N1-361-90-01

547.30 Safety Information. Reference guides, manuals, books, posters, literature and pamphlets containing information pertaining to safety awareness, techniques, and practices. (Destroy when superseded or obsolete.) N1-361-90-01

547.34 Firemen Logs. Log books, records, forms, and documentation of fire department actions and activities pertaining to duty assignments, inspections, fire calls and evacuation drills. (Destroy after 7 years.) N1-361-90-01

547.38 Engineer Logs. Logbooks and records of overtime hours worked. (Destroy after 3 years.) N1-361-90-01

547.42 Work Schedules. Charts and lists assigning personnel to specific hours and dates of duty. (Destroy when superseded.) N1-361-90-01

547.46 Inspections. Building fire inspection reports and records. (Destroy after 5 years.) N1-361-90-01

547.50 Fire Extinguishers. Inventory, test, inspection and location records of fire extinguishers. (Destroy after 2 years.) N1-361-90-01

547.54 Sprinkler Systems. Inspection, maintenance, and cleaning records for sprinkler systems. (Destroy after 1 year.) N1-361-90-01

547.58 Hazardous Materials. Records, lists, and correspondence relating to existing hazardous materials, their monitoring, elimination, and accident/spill reports. (Destroy after 75 years.) N1-361-90-01

547.62 Ambulance Calls. Reports and records of ambulance calls and response actions. (Destroy after 2 years.) N1-361-90-01

547.66 Fire Calls. Reports pertaining to individual fire calls, damage, injuries and similar information. (Destroy after 1 year.) N1-361-90-01

547.70 Fire Incidents. Reports and records of all fire losses over \$1000. (Destroy after 2 years.) N1-361-90-01

549 UTILITIES. Relates to the operation, maintenance and repair of utility plants and systems.

549.10 Service Manuals. Books, lists, warranties, order forms, and manuals providing part numbers and ordering procedures for obtaining equipment replacement parts. (Destroy when obsolete, superseded or no longer needed.) N1-361-90-01

549.13 Utility Locations. Equipment log sheets, layouts, designs, blueprints, drawings, maps and specifications providing locations of electrical and air conditioning equipment, electrical power lines and transformers, and identifying electrical wiring and plumbing layouts. (Destroy when obsolete.) N1-361-90-01

549.16 Log Sheets. Sign-in/out log sheets and equipment location log sheets which provide for equipment accountability. (Destroy when obsolete or replaced by new sheets.) N1-361-90-01

549.19 Daily Boiler Logs. Records and log sheets pertaining to boiler pressures, oil temperatures, boiler firings, and related problems with boiler operations. (Destroy after 1 year.) N1-361-90-01

549.22 Vendor Brochures. Pamphlets, brochures, catalogs, and documents received from vendors providing information on new and updated equipment and products. (Destroy when obsolete.) N1-361-90-01

549.25 Equipment Pollutants. Lists, maps, drawings and reports of equipment which contain pollutants. (Destroy when obsolete or pollutants have been removed.) N1-361-90-01

549.28 Utility Agreements. Copies of contracts from local utility companies regarding the purchase and use of services provided. (Destroy when obsolete or no longer needed.) N1-361-90-01

549.31 Utility Bills. Printouts, forms, documents, reports, and correspondence pertaining to utility use, billing and payment. (Destroy after 3 years.) N1-361-90-01

549.34 Service Orders. Service order forms involving the performance of preventive maintenance, repair, and preparation of family housing units. (Destroy after 2 years.) N1-361-90-01

549.37 Inspections. Reports, forms, and correspondence relating to safety inspections from internal and external sources. (Destroy after 2 years.) N1-361-90-01

549.40 Boiler Treatment. Reports and records of chemicals and their use with boilers. (Destroy after 2 years.) N1-361-90-01

549.43 Sprinkler Maintenance. Records, documentation and correspondence relating to the maintenance and cleaning of sprinkler systems. (Destroy after 2 years.) N1-361-90-01

549.46 Material Costs. Bills of materials for repair jobs, lists of supplies and related costs associated with repair and maintenance of equipment. (Destroy after 2 years.) N1-361-90-01

549.49 Inventories. Lists and records of equipment and accountable Government property and their locations. (Destroy when obsolete or item is no longer in inventory.) N1-361-90-01

549.52 Work Plan. Weekly work schedules, forms and records reflecting work-hours spent in the performance of each job. (Destroy and replace monthly.) N1-361-90-01

549.55 Water and Chemical Production. Operating logs, and related papers that reflect the results of water and chemical production measurements. (Destroy after water plant use has been replaced by County water system.) N1-361-90-01

549.58 Back-flow Preventers. Reports, records of inspections and tests, and related documentation provided to State agencies. (Destroy when obsolete or no longer needed.) N1-361-90-01

549.61 Bacteria. Reports, test and sample records and related documentation pertaining to water testing. (Destroy when obsolete or no longer needed.) N1-361-90-01

549.64 Water Tests. Test results, reports, and documentation reflecting quantity of pollutants in bodies of water. (Destroy after 1 year.) N1-361-90-01

549.67 Water Systems. Documentation reflecting study results of water distribution systems. (Destroy when no longer needed.) N1-361-90-01
549.70 Permits. National Pollutant Discharge Elimination System permit for discharging water in public waterways. (Destroy when renewed, obsolete, or no longer needed.) N1-361-90-01

DEFENSE REUTILIZATION AND MARKETING

600 DEFENSE REUTILIZATION AND MARKETING. Relates to management of personal property disposal operations, including reutilization of serviceable assets in support of the military services and other authorized customers.

600.01 Reutilization and Marketing Program/Project Files. Documents related to the formulation, management, administration and execution of individual Reutilization and Marketing programs/projects such as plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program/project effort, or when no longer required, whichever is sooner.) N1-361-92-02

600.02 Reutilization and Marketing Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Reutilization and Marketing matters including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere. (Destroy after 2 years.) GRS 4, Item 1.

610 PROPERTY MANAGEMENT. Relates to the management, accountability, and control of excess government property.

610.10 Item Case Files. Item release/receipt documents, and other documents related to property requisition and receipt, adjustment records, reversals and property downgrade (scrap) cards used to account for property items until reutilization or disposal. (Cutoff at end of Fiscal Year. Destroy after 2 years.) N1-361-92-02

610.15 Property Accountability. Inventories of property on-hand, disposal transaction registers, resolution listings and similar materials used to research and provide overall accountability status of property. (Destroy after 3 years.) N1-361-92-02

610.20 Property Turn-In Schedules. Scheduling books and similar materials used to establish schedules with generating activities for the turn-in of property. (Destroy after 2 years.) N1-361-92-02

610.25 Property Demilitarization. Demilitarization certificates, feeder reports and related documents used to research and track actions taken on items rendered unusable for military applications. (Destroy after 4 years.) N1-361-92-02

610.30 Demilitarization Requirements. Microfiche containing information on items requiring demilitarization. (Destroy when superseded or obsolete.) N1-361-92-02

610.35 Demilitarization Verifications/Challenges. Cover letters, copies of demilitarization requirements, and related backup materials used to verify/challenge requirements to research and demilitarize questionable property. (Destroy after 4 years.) N1-361-92-02

610.40 Critical and Strategic Materials Reclamation. Papers used to record the conservation of critical and strategic materials. (Destroy after 5 years.) N1-361-92-02

610.45 Precious Metal Reclamation. Monthly and quarterly reports of precious metal reclamation, issues, and related papers used to record the conservation of precious metals. (Destroy after 5 years.) N1-361-92-02

610.50 Inspections. Inspection sheets and related backup materials and correspondence used to conduct and report inspections of sanitary fills. (Destroy after 2 years.) N1-361-92-02

610.55 Warehousing. Copies of item release/receipt documents, screener forms, issue forms, location change forms, tally sheets, and similar materials used to locate, warehouse, safeguard, and issue property other than operating supplies and equipment. (Destroy after 1 year.) N1-361-92-02

610.60 Space Management. Warehouse and other space layout plans used to manage Defense Reutilization and Marketing Office (DRMO) storage areas. (Destroy when superseded or no longer needed.) N1-361-92-02

610.65 Equipment Control. Sign-out sheets, equipment assignments, vehicle checklists, maintenance forms, usage reports, and equipment downtime and breakdown reports used to control/dispatch vehicles, material handling equipment, and other motorized equipment. (Destroy after 1 year.) N1-361-92-02

620 SMALL ARMS SERIALIZATION PROGRAM. Relates to the administration, accountability and demilitarization of small arms under the Small Arms Serialization Program.

620.20 Small Arms Serialization Program. Documents relating to the overall administration of small arms serialization program. (Destroy when 10 years old.) NC1-361-81-8

620.40 Small Arms Control File (Active/Inactive). Individual record (card or listing) for each small arm that is under the activity's accountability. (Place transaction card in inactive file after disposition of the small arm. Destroy after annual reconciliation has been completed and records no longer appear on the Small Arms Inventory listing.) NC1-361-81-8

620.60 Small Arms Inventory Listing. Listing of serial numbered small arms data contained in the DLA Central Registry.

620.60A Defense Reutilization and Marketing Service (DRMS). (Retain in current files area. Destroy when 3 years old.) NC1-361-81-8

620.60B Other offices. (Destroy upon receipt of new listing.) NC1-361-81-8

620.80 Small Arms Transaction Register and Small Arms Reject Listing. Listing and register generated from the use of the Small Arms Serialization Program.

620.80A DRMS. (Retain in current files area. Destroy when 3 years old.) NC1-361-81-8

620.80B Other offices. (Destroy after annual reconciliation is complete.) NC1-361-81-8

620.90 Small Arms Demilitarization Certificates. Certificates of small arms demilitarization. (Destroy 5 years after destruction of weapon.) N1-361-92-02

630 REUTILIZATION AND DISTRIBUTION. Relates to the redistribution, donation, transfer, or foreign military sale of excess government property.

630.10 Want Lists. Customer want lists, multipurpose requisition/issue forms and similar materials used to provide maximum reutilization of excess property. (Destroy 1 year after request is filled or action completed.) N1-361-92-02

630.15 Interservice Support Agreements. Memorandums of Understanding (MOUs), Interservice Support Agreements (ISAs), and similar items developed for reutilization of property. (Destroy 1 year after property is re-utilized/sold or agreement is cancelled.) N1-361-92-02

630.20 Redistribution Efforts. Documentation on efforts to dispose of property by reutilization, transfer, and donation. (Destroy after 3 years.) N1-361-92-02

630.25 Material Utilization and Disposal Progress Reports. Reports initiated or received showing progress on property utilization and disposal programs.

630.25A HQ DLA. (Destroy after 10 years.) NC1-361-76-10

630.25B Other offices. (Destroy after 2 years.) NC1-361-76-10

630.30 Freeze Actions. Messages and supporting records freezing property for designated programs pending receipt of requisitions. (Destroy after 1 year.) N1-361-92-02

630.35 Contractor Inventory Redistribution System. Catalogs listing Government property in contractor custody available for redistribution. (Destroy when obsolete.) N1-361-92-02

630.40 Property Donation Case Files. Documents accumulated at a headquarters which approves or acts upon cases involving the donation of excess or surplus property to authorized non-Government agencies. (Destroy after 3 years.) N1-361-87-1

630.45 Transfer Authority. Signature cards and letters of designation identifying personnel authorized to transfer property. (Destroy 2 years after authority expires.) N1-361-92-02

630.50 Foreign Military Sales Case Files. Case files relating to the authorized sale of excess property to foreign governments through the Foreign Military Sales Program. (Destroy 6 years and 3 months after all aspects of the sale are complete.) N1-361-87-1

630.55 Accounts Maintenance. Turn-in documents, records of adjustments for other than Reports of Survey or GPLDs, issues of excess, surplus, and foreign excess personal property, downgrade to scrap, and similar documentation used to research, maintain and correct accounts. (Destroy after 3 years.) N1-361-92-02

630.60 Abandoned/Destructed Property. Documents pertaining to abandoned/destructed property including DPDS Form 240, Economy Formula Worksheet and DoD 4160.21-M information. (Destroy when superseded, obsolete or no longer needed for reference.) N1-361-87-1

630.65 Reporting. Copies of transmittals, sales lists, catalog mailings and various reports, not covered elsewhere, that serve as a record of redistribution efforts and other routine activities. (Destroy after 3 years.) GRS 4, Item 2.

640 OPERATIONS. Relates to the management of property reutilization activities.

640.10 Reports of Survey. Reports of survey and Government property lost or destroyed including inventory adjustments, and related records used to adjust accountable property records. (Destroy after 5 years.) N1-361-92-02

640.15 Commodity Analyses. Computer printouts, contract yield information, briefing charts and related background data pertaining to precious metals used to demonstrate cost effectiveness of each commodity refined. (Destroy after 3 years.) N1-361-92-02

640.20 Monthly Scrap Listing. Inventory on-hand listings containing locations and weights of precious metals on-hand. (Destroy after 5 years.) N1-361-92-02

640.25 Precious Metals Contract Files. Copies of contracts (recovery, procurement, service), modifications and amendments, precious metals deposits, contractor status reports, correspondence, statements of work, bid sheets, pre-award/post-award documents, delivery orders, funding documents, processing plans, shipping/receiving reports, production reports, settlement letters, assay reports, invoices, and similar records used to monitor precious metal recovery operations. (Destroy 3 years after contract is closed.) N1-361-92-02

640.30 Precious Metals Equipment and Supplies. Copies of funding documents, invoices, shipping/packing information, specifications, contracts, test and evaluation data, and similar records pertaining to acquisition of precious metals recovery equipment. (Destroy after 5 years.) N1-361-92-02

640.35 Demilitarization and Mutilation Case Files. Correspondence, conversation records, cataloging information, treaty information, and related documents pertaining to demilitarization or mutilation requirements and actions performed on military-type materiel prior to disposal. (Destroy after 10 years.) N1-361-92-02

640.40 Demilitarization Code Challenges. Correspondence, messages, code change recommendations, and similar records pertaining to demilitarization code changes of surplus property. (Destroy after 4 years.) N1-361-92-02

640.45 Strategic/Munitions List Items Control. Documents which pertain in general to specific contracts subject to strategic/munitions list items

controls, such as the evaluation of bidder's eligibility, approval and disapproval of bidder's end-use and destination of property, and import certificate/delivery verification requirements.

640.45A Foreign Excess Personal Property (FEPP). (Destroy 6 years after completion of security trade controls on individual transactions.) N1-361-92-02

640.45B Surplus. (Destroy 7 years after bid award date.) N1-361-92-02

640.50 Security Trade Control Violations. Documents and correspondence relating to reports and investigations of diversions of FEPP, including technical violations of DoD Security Trade Control Regulations. (Destroy 15 years after adjudication is completed.) N1-361-92-02

640.55 MIPR Files. Copies of contracts, delivery schedules, receiving activity invoices, MIPRs, and similar records pertaining to acquisition of vehicles, materiel handling equipment, and other motorized equipment used by operational elements. (Destroy when no longer needed for reference.) N1-361-92-02

640.60 Warehouse Modernization/Mechanization Program Files. Copies of site visit results, correspondence, specifications and drawings, project status reports, 5-year plans, and similar documentation related to modernization of storage facilities. (Closeout when project completed and accepted. Retain for life of equipment installed.) N1-361-92-02

640.65 Registration Log. Log of registration numbers assigned to DRMS-owned equipment and vehicles assigned overseas. (Destroy when obsolete or no longer needed for reference.) N1-361-92-02

640.70 Surplus Property Transportation. Reutilization transportation approval/disapproval requests, data sheets, correspondence, messages, approvals in lieu of ultimate disposal, and similar records related to the approval/disapproval of costs for transportation of surplus items exceeding 10,000 pounds. (Destroy after 3 years.) N1-361-92-02

640.75 Retrograde Transportation Files. Operation plans, Department of Transportation (DOT) exemptions, messages, ports of entry/debarkation schedules, conversation records, planning documents, procedural documents, and similar records related to return of surplus property from foreign countries. (Destroy after 5 years.) N1-361-92-02

640.80 Reutilization Monthly Expenditures. Data pertaining to reutilization transportation costs used to track and program funds. (Destroy after 2 years.) N1-361-92-02

650 MARKETING. Relates to the marketing, advertising and sale of excess Government property.

650.10 Market Research. Item descriptions, material safety data sheets, correspondence and related materials obtained as a result of conducting market research and used to analyze markets and trends; determine property market values; identify potential markets, buyers and sale methods; develop operating plans; and determine/provide requirements applicable to property offered for sale. (Destroy after 1 year or when no longer needed for reference, whichever is later.) N1-361-92-02

650.14 Market Analyses. Periodic analyses of inventories of recyclable materials, directed criteria, and related documents. (Destroy after 7 years.) N1-361-92-02

650.18 Marketing Information. Catalogs, customer comment cards, applications to bid, and related correspondence and materials used to evaluate and provide marketing information. (Destroy after 2 years.) N1-361-92-02

650.22 Quality Assurance Reviews. Reviews and recommendations on sealed bid catalogs other than copies retained within SCO contract files. (Destroy after 1 year.) N1-361-92-02

650.26 Advertising. Ads placed in local newspapers, bulletins, and magazines; flyers; invitations for bid; related materials and backup information used to

advertise and promote aspects of marketing operations. (Destroy when no longer needed for reference.) N1-361-92-02

650.30 Auction and Retail Sale Files. Items relating to retail and auction sales including item records; audit of records and certificates of review; bidder lists; high bid sales data; transmittals; lists of items; sale summary reports; notices of award, statement and release documents; bidder registration forms; catalogs; various equipment listings; sale tags; property tickets; cash collection vouchers and related financial records; complaints and related evaluations and decisions; and other pertinent historical data related to an individual sale. (Destroy 3 years after final payment.) N1-361-92-02

650.34 Sale Evaluations. Listings, printouts and similar historical sale data and materials used to evaluate sale requirements and direct disposition of property having no commercial local market value/demand or which cannot be cost effectively sold. (Destroy after 2 years.) N1-361-92-02

650.38 Bidders Master File. Microfiche copies containing information pertaining to buyers or potential buyers of Government surplus property. Includes information such as bidder identification numbers, debarred/indebted/bad check lists, cleared bidders list, and bidder experience list.

650.38A DRMS. (Destroy after 50 years.) N1-361-92-02

650.38B Subordinate activities. (Destroy when superseded or obsolete.) N1-361-92-02

650.42 Debarred, Ineligible, or Suspended Bidders. Correspondence and documents relating to debarred, ineligible, or suspended bidders on surplus property. (Destroy after 10 years.) NC1-361-77-3

650.46 Market Subsystem History File. Records pertaining to sales performance history of buyers of Government surplus property used for analysis. (Destroy after 50 years.) N1-361-92-02

650.50 Annual Bid Deposit Bonds. Applications for annual bid deposit bonds, and related documents. (Destroy after 3 years.) N1-361-92-02

650.54 Hazardous Property Sales Contracts. Contract files relating to the sale of hazardous properties.

650.54A Sale Contracting Office (SCO) copies. (Destroy after 50 years.) N1-361-92-02

650.54B Other offices. (Destroy when superseded, obsolete or no longer needed for reference.) N1-361-86-2

650.58 Combatant Vessel and Aircraft Sales Contracts. Contract files relating to the disposal of combatant vessel/aircraft through sale. (Destroy 6 years after the sales contracting officer is notified that vessel/aircraft has been dismantled and has lost its identity as a vessel/aircraft. Exception: Files known to be pertinent to an unsettled claim, incomplete investigation, or pending litigation will not be destroyed until settlement of the claim or completion of investigation or litigation.) NC1-361-81-5

650.62 Sale Contracts. Contracts, high bid sheets, letters, correspondence, claims, waivers, disputes, and related materials not covered elsewhere used to evaluate and execute contracts awarding surplus foreign excess/surplus personal property to buyers.

650.62A SCO copies:

650.62A(1) Transactions of more than \$25,000. (Destroy 6 years after final payment.) N1-361-92-02

650.62A(2) Transactions of \$25,000 or less. (Destroy 3 years after final payment.) N1-361-92-02

650.62B DRMO copies. (Destroy after 2 years.) N1-361-92-02

650.66 Personal Property Sales Unsuccessful Bids. Unsuccessful and canceled bids resulting from personal property sales transactions accomplished under sealed bid and spot bid procedures; bidders registration cards of unsuccessful bidders resulting from such sales transactions accomplished by spot bid and auction procedures.

650.66A Sensitive (includes all unsuccessful bids in instances when any award is made to other than the high bidder). (Destroy 6 years after sale date.) N1-361-92-02

650.66B Non-sensitive. (Destroy 1 year after removal of all property sold under the related invitation for bids.) N1-361-92-02

650.70 Post-award Withdrawal Actions. Copies of documents, other than SCO copies, pertaining to property withdrawn from sales after award and prior to physical removal. (Destroy after 3 years, or when no longer required, whichever is later.) N1-361-92-02

650.74 SCO Training Courses. Course materials used in proficiency updates, sale contracting procedures and local sales officer's courses. (Destroy when superseded, or when no longer needed for reference.) N1-361-92-02

650.78 SCO Appointments. Documents, warrants, and related materials pertaining to the appointment of sales contracting officers. (Destroy on separation of individual from the organization.) N1-361-92-02

650.82 Auctioneers. Lists of certified DRMS auctioneers. (Destroy when superseded.) N1-361-92-02

650.86 Negotiated Sales Reporting. Documents and reports pertaining to required Congressional notification and/or approval on negotiated sales of surplus property. (Destroy after 3 years, or when no longer required, whichever is later.) N1-361-92-02

650.90 Technical Assistance Visits. Periodic program evaluations of sale contracting practices and operations, and reports of corrective actions. (Destroy after completion of comparable visit, or when no longer needed for reference.) N1-361-92-02

660 ENVIRONMENTALLY REGULATED PROPERTY. Relates to environmental matters and the handling and disposal of hazardous waste materials. Note: Longer retention periods are authorized where required by Code of Federal Regulations (CFR), state, or local laws. For disposition of contract related records not covered in this section, see section 810.00, Contracting and Production.

660.10 Hazardous Waste Service Contracts. Contract files relating to transportation, storage, and disposal of hazardous waste including hazardous waste manifests and other supporting documentation.

660.10A Contracting Officer copy. (Destroy after 50 years.) N1-361-92-02

660.10B Region Delivery Order files. (Upon closeout of final delivery order, forward file contents to contracting office for consolidation with contract files.) N1-361-92-02

660.10C Other offices. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-92-02

660.14 Pre-solicitation Technical Reviews. Technical reviews of hazardous material/waste service contractors. (Destroy when no longer needed for reference.) N1-361-92-02

660.18 Technical Evaluation of Bids and Proposals. Retained copies of technical evaluations of bids and proposals for hazardous waste service contracts provided to contracting officers. (Destroy after 3 years.) N1-361-92-02

660.22 Third-Party Liability Program Actions. Investigations on sites with potential Government liabilities under environmental law including records searches, determinations of on-site liabilities, retrieval and/or removal actions, and recommendation efforts.

660.22A Office of Environmental Processes. (Destroy 50 years after completion of final action.) N1-361-97-01

660.22B Other Offices. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-97-01

660.26 Environmental Inquiries. Logs and related records for technical inquiries on the storage, handling, receipt or disposal of hazardous property. (Destroy after 1 year.) N1-361-92-02

660.30 Spill Reports. Situation reports on spills of hazardous materials including follow-up actions and related actions which are maintained by:
660.30A Originator. (See 660.42.) N1-361-92-02
660.30B Cognizant Regions and other activities for information. (Destroy 1 year after corrective action.) N1-361-92-02
660.34 Environmental Compliance Audits. Checklists, reviews, photographs, reports and related correspondence on compliance with environmental requirements by DLA activities, hazardous waste disposal contractors, and surplus sales purchasers. (Destroy 3 years after completion of any required corrective actions.) N1-361-92-02
660.38 Treatment, Storage and Disposal Facilities (TSDF). Documents and correspondence pertaining to service contractor TSDFs such as state licenses, DOT ratings for transportation, Resource Conservation and Recovery Act facility permits, TSDF environmental operating records, inspections documents, and related records. (Destroy when superseded, or no longer needed for reference, whichever is later.) N1-361-92-02
660.42 Environmental Operating Records. Documents pertaining to facility environmental operating records as mandated by the Resource Conservation and Recovery Act (40 CFR Part 264/265). Documents include closure plan, waste analysis plan, training records, hazardous waste log, waste analysis records, inspection log, spill records, notices to off-site generators, notices to TSDFs, notifications/permits, and waste minimization certificates. (Destroy upon closure of TSDF.) N1-361-92-02
660.46 Environmental Disposition Documents. Manifests received and/or completed, manifest discrepancies, used oil logs, and certification notices from burners/marketers. (Destroy 3 years after last transaction.) N1-361-92-02
660.50 Land Disposal Restrictions (LDR). Copies of all notices, certifications, demonstrations, waste analysis data, and other pertinent documents of LDR hazardous waste sent to treatment, storage, or disposal facilities. (Destroy 5 years from date hazardous waste documented was last sent to TSDF, except during course of unresolved regulatory actions.) N1-361-92-02
660.54 Polychlorinated Biphenyl (PCB) Records. Copies of documents and PCB document logs tracking the receipt and disposition of PCBs and PCB items, per 40 CFR 761.180; records include manifests, certificates of disposal, PCB Annual Document Log, and PCB Annual Log Summary. (Destroy after 3 years.) N1-361-92-02
660.58 Environmental Reports. Resource Conservation and Recovery Act (RCRA) Biennial reports, un-manifested waste reports, exception reports, and other related reports, information, and letters. (Destroy upon closure of TSDF.) N1-361-92-02
660.62 RCRA Part B Permit Applications. Documents related to permitting RCRA conforming storage facilities for hazardous property including siting, design, and construction documentation. (Retain for life of the facility; destroy when no longer required.) N1-361-92-02
660.66 Environmental Training. Training certificates, listings of qualified personnel, dates of training, tracking documents, and other materials related to environmental and hazardous materials training certifications. (Update as current personnel are re-certified, destroy 3 years after employee leaves the Hazardous Material/Waste career field.) N1-361-92-02
660.70 Hazardous Property Inventories. Inventories, various status reports, and snapshot reports used to maintain cognizance of current and correct hazardous property inventories. (Destroy after 1 year, or when no longer needed.) N1-361-92-02
660.74 Customer Assistance Booklets. Informational materials and booklets used to advise property generators of requirements for identification and packaging requirements for hazardous materials. (Destroy when superseded or obsolete.) N1-361-92-02

660.78 Hazardous Waste Profile Sheets. Hazardous Waste Profile Sheets and related materials used to determine hazardous nature of excess property and assure proper identification and packaging.

660.78A Facility Operating Record copy. (Destroy 5 years after closure of the facility.) N1-361-92-02

660.78B Other copies. (Destroy when no longer needed to meet regulatory requirements.) N1-361-92-02

660.82 Emergency Plans. Copies of emergency plans and procedures such as contingency plans, spill response plans, spill prevention containment countermeasure plans, hazardous waste management plans, in-house operating procedures, and related meeting minutes, coordinations, notifications and correspondence used to establish appropriate actions to be taken in event of hazardous material spills. (Destroy when superseded, obsolete or no longer needed.) N1-361-92-02

660.86 Facilities/Construction Projects. Work orders, programming documents, correspondence, drawings, funding documents, project approvals, and certifications of costs incurred. (Destroy 5 years after project completion and incorporation in the installation master plan.) N1-361-92-02

660.90 Installation Master Plan. Documents describing buildings, locations, siting, layouts, utilities, and related matters in DLA activities. (Destroy when superseded.) N1-361-92-02

660.94 Facilities Programming. Annual work plan and documents pertaining to real property maintenance and military construction programming. (Destroy after 5 years.) N1-361-92-02

TECHNICAL OPERATIONS

705 TECHNICAL OPERATIONS. Relates to quality and reliability, cataloging, technical data, standardization, value engineering, engineering support, and technical support of acquisition and provisioning.

705.01 Technical Operations Program/Project Files. Documents related to the formulation, management, administration and execution of individual Technical Operations programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-16

705.02 Technical Operations Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Technical Operations matters including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

705.02A HQ DLA. (Destroy after 2 years.) N1-361-91-16

705.02B Other activities. (Destroy after 1 year.) N1-361-91-16

710 VALUE ENGINEERING. Relates to the implementation of the Value Engineering Program and the conduct of intrinsic value and should-cost analyses on DLA managed material.

710.10 Value Engineering Projects and Studies. Should-cost analyses, value engineering change proposals, reverse engineering projects, price challenges, and related records pertaining to projects:

710.10A Resulting in cost savings. (Destroy after 6 years, or when no longer needed for reference or research, whichever is later.) N1-361-91-16

710.10B Not resulting in cost savings. (Destroy when no longer needed for reference or analysis.) N1-361-91-16

710.20 Value Engineering Item Records. Documentation summarizing prior value engineering efforts on individual items used for reference and research. (Destroy when no longer needed for reference.) N1-361-91-16

710.30 Value Engineering Reporting. Statistical reports on value engineering program activities including projects, savings, items screened, and similar information. (Destroy after 1 year.) N1-361-91-16

710.40 Value Engineering Change Proposal (VECP) Program Presentations. Presentations and related documents on efforts to encourage contractor submission of VECPs including business conference programs and similar efforts. (Destroy after 1 year, or when superseded, whichever is sooner.) N1-361-91-16

710.50 Replenishment Parts Purchases and Loans. Informational copies of contracts and agreements for the loan or sale of items to contractors for engineering purposes. (Destroy 1 year after return of item or sale, as applicable.) N1-361-91-16

715 STANDARDIZATION. Relates to implementation of the Defense Standardization and Specification and Parts Control Programs for assigned Federal Supply Classes to include standardization in support of engineering, procurement, and supply management.

715.10 Specification History Files. Commercial item descriptions, copies of specifications and proposed revisions, communication control records, records of document actions, action sheets, coordination letters, correspondence with manufacturers and related materials used to manage the Defense Standardization and Specification Program. (Destroy 2 years after specification is cancelled or superseded.) N1-361-91-16

715.13 Federal Supply Classification (FSC) Files. Program plans and related backup materials related to analysis of FSCs or Defense Standardization and Specification Program. (Destroy when plan expires or is superseded.) N1-361-91-16

715.16 Defense Standardization and Specification Program Policies, Procedures and Instructions (DoD 4120.3-M) Updates. Commercial item descriptions, coordinations, changes and related items and backup materials used to recommend changes to DoD 4120.3-M for improvement of the standardization mission performance. (Destroy when change is published.) N1-361-91-16

715.19 Standardization Liaison. Telephone records, meeting minutes, trip reports, correspondence, and related information acquired as a result of participation as DoD representative at industry/military standardization meetings, and maintaining liaison with military services. (Destroy when 2 years old, or when no longer needed, whichever is sooner.) N1-361-91-16

715.21 Project Register. Project registers used to identify, schedule and monitor standardization projects. (Destroy 2 years after all actions on register are completed.) N1-361-91-16

715.40 Parts Control History File. Recommendations and/or requests for parts use, parts selection lists, related technical inputs, updates, and responses used to support equipment design organizations in the selection and application of standard parts in equipment design programs. (Destroy 3 years after part is superseded, obsolete, or no longer needed.) N1-361-91-16

715.43 Parts Control Publicity. Copies of Government-furnished base lines, MIL-STD 965A, Military Parts Control Advisory Group (MPCAG) Directory, related publicity items and publications, and cover letters sent to contractors to publicize the Parts Control Program and the MPCAG concept. (Destroy after 1 year.) N1-361-91-16

715.46 Engineering Consultation. Copies of parts selection lists, justifications for parts selection, drawings, specifications, recommendations to use parts, technical data; trip reports, board meeting minutes and related materials used to record history of engineering consultations to parts control boards, advisory groups, committees, panels, and contractors. (Destroy 2 years after consultation or when no longer needed for reference.) N1-361-91-16

715.49 Engineering Design and Logistics. Source lists for supply, standardized parts drawings, requests for specification updates, and related correspondence

and backup materials used to notify contractors of parts meeting specific design application requirements. (Destroy 2 years after specification is cancelled or superseded.) N1-361-91-16

715.52 Manufacturing Techniques and Procedures. Meeting minutes, trip reports, catalogs, procedures and techniques, information received at conferences, correspondence, and related materials obtained and used to supply information on state-of-the-art manufacturing techniques and procedures being developed that impact parts selection. (Destroy when superseded, obsolete, or no longer needed.) N1-361-91-16

715.55 Government-Furnished Baseline (GFB) Listings. Computer listings reflecting the history of standardized parts. (Destroy when superseded or obsolete.) N1-361-91-16

715.58 Nonstandard Parts Evaluations. Current program parts selection list, latest standard military drawings, analyses and related backup materials, recommendations, and resulting decisions used in the analysis and evaluation of nonstandard part requests and analyses of contractor control drawings. (Destroy 3 years after completion of related contract.) N1-361-91-16

715.61 Cost Avoidance Reports. Status reports, copies of cost avoidance reports, parts matches, coordinations and documentation of creations of new NSNs, bin space arrangements and related materials used to identify potentials for cost avoidance. (Destroy after 3 years.) N1-361-91-16

715.64 Standardization Audits. Audit reports and records of corrective actions taken and responses to audit findings. (Destroy 1 year after succeeding audit is conducted.) N1-361-91-16

715.80 Item Standardization Studies. Item reduction studies, reviews of engineering practices, concurrences, and non-concurrences, requests for project numbers, research information and related materials used to maintain currency of standardization status of items and assign item standardization codes. (Destroy after study recommendations have been implemented, or when no longer needed for reference.) N1-361-91-16

715.82 Item Standardization Reviews. Study and control cards, drawings, item descriptions, transmittal sheets, study notes, listings, correspondence, concurrences/non-concurrences, and related materials used or created in the conduct of item standardization reviews. (Destroy after 10 years.) N1-361-91-16

715.84 Maintenance Files. Drawings, item descriptions, listings, correspondence, backup materials for Federal Supply Codes and related materials on items not covered by 715.80, Item Standardization Studies. (Destroy after 3 years.) N1-361-91-16

715.86 Item Reduction File. Studies of proposed item reductions, related listings, correspondence, and related materials. (Destroy when study results have been implemented.) N1-361-91-16

715.88 Cataloging Referrals. Cataloging requests, letters to the Military Services and responses, and similar correspondence used to refer cataloging actions as a result of item standardization reviews. (Destroy when cataloging action is completed.) N1-361-91-16

720 TECHNICAL SERVICES. Relates to technical/engineering support such as contracting, packaging, supply, item entry control, and related areas.

720.10 Item Technical History Records. Determinations on the adequacy of technical data for procurement purposes, drawings, item transfer forms, correspondence with industry and engineering support activities, referrals and supporting documents for determinations on alternate offers, and comparable documents. (Destroy when obsolete or when item is transferred or removed.) N1-361-91-16

720.20 Pre-provisioning. Tables, screening worksheets, notes, Standard Alternate Item Referral/Request Notifications, total item records, revisions and related backup materials used to maintain the Provisioning Surveillance System. (Destroy

when stock number has been cancelled or when no longer needed for reference.)
N1-361-91-16

720.25 Provisioning System Input Control. Suspense log book used to track inputs to the Provisioning Surveillance System. (Destroy when no longer needed for reference.) N1-361-91-16

720.30 Provisioning/Pre-provisioning Conferences. Pre-provisioning reviews, drawing packages, distribution lists, document transmittals, conference projections and notifications, and related correspondence and backup materials used to plan, establish and conduct pre-provisioning guidance conferences and provisioning/source coding conferences for procured end items and equipment. (Destroy 5 years after NSN is established.) N1-361-91-16

720.40 Substitution Actions. Supply support requests for the identification of potential substitute items to meet requisitions. (Destroy after 3 months, or when no longer required, whichever is sooner.) N1-361-91-16

720.45 Engineering Support Estimates. Documents and reports providing estimates of engineering support requirements. (Destroy after 2 years.) N1-361-91-16

720.50 Packaging Project Records. Documents on packaging improvements, specialized problems, evaluation and testing, packaging board decisions, and related materials. (Destroy 2 years after final decision or implementing actions.) N1-361-91-16

720.55 Packaging Complaints. Customer and depot complaints and related correspondence. (Destroy after 1 year.) N1-361-91-16

720.60 Packaging Plant Visits. Staff visits to manufacturing facilities to examine packaging processes and provide assistance on technical problems. (Destroy after 1 year.) N1-361-91-16

720.70 DoD Hazardous Material Data. Microfiche containing a record of the data contained in the DoD Hazardous Material Data Bank. (Destroy after 75 years.) N1-361-91-16

730 LOGISTICS DATA. Relates to the administration and performance of the Federal Cataloging Program, and cataloging aspects of the Item Entry Control Program; and the execution of the provisioning supply program.

730.10 Logistics Data Records. Catalog data input forms, and related background data used to submit logistics data records for NSN assignment or revision. (Destroy after NSN is assigned or data is revised, whichever is applicable.) N1-361-91-16

730.20 Maintenance Transaction Files. Documents pertaining to revisions of cataloging data such as catalog data forms, coded item characteristics maintenance forms, and similar data. (Destroy after 2 years.) N1-361-91-16

730.30 Provisioning Parts Lists. Records listing items of weapon systems components, meetings with manufacturers, provisioning service, and integrated material managers, and similar records used in determinations on the management of items. (Destroy on receipt of related supply support requests or cancellation action.) N1-361-91-16

730.35 Provisioning History Files. Supply support requests for new items in support of military equipment, item entry control reviews, and related documents. (Destroy after 5 years, or when no longer needed, whichever is sooner.) N1-361-91-16

730.40 Federal Item Identification Proposals. Retained copies of supply cataloging requests for changes in Federal item identification guides. (Destroy upon completion of action.) N1-361-91-16

730.45 Commercial and Government Entity (CAGE) Codes. Retained copies of requests to establish CAGE codes for item manufacturers. (Destroy when published or confirmed.) N1-361-91-16

730.50 Data Preparation Reports. System generated reports on data transmission and quality. (Destroy on completion of review, or when no longer required for analysis, whichever is later.) N1-361-91-16

730.55 Federal Item Identification Guides (FIIGs). Guides, reference drawings, descriptions of items in supply system, schedules, other background materials, correspondence, messages and related materials used to develop, prepare, coordinate, and maintain Federal Item Identification Guides. (Destroy when item is removed from the supply system.) N1-361-91-16

730.60 Requirement Development. Memorandums, requests, comments, coordinations, research and associated materials used to develop and coordinate requirements and replies for FIIGs from other activities, and logistical areas other than item identification. (Destroy when requirements are published.) N1-361-91-16

730.65 Item Identification Preparation. Supply support requests, requests for maintenance actions, stock on hand reports, worksheets, approvals/denials, and related materials used to prepare and/or revise item identifications for all items requiring or having National Stock Number (NSN) assignments. (Destroy 1 year after approval.) N1-361-91-16

735 TECHNICAL DATA MANAGEMENT. Relates to administration and execution of the Technical Data Management Program including the Technical Information Storage and Control System, and the Replenishment Parts Breakout Program.

735.10 Planned Procurement Listing. Listings of projected procurement actions used to identify noncompetitive items and research the availability of technical data for procurement purposes. (Destroy after 2 years.) N1-361-91-16

735.20 DFAR S6 Full Screen Reviews. Documents used in reviews of technical data for individual items, efforts to acquire such data, and determinations on the competitive status of items. (Destroy when obsolete, or 3 years after item breakout, as applicable.) N1-361-91-16

735.30 DFAR S6 Competition Reporting. Periodic reporting on program activities, savings, and similar data. (Destroy after 1 year.) N1-361-91-16

735.40 Engineering Drawing Requests. Customer requests for engineering drawings. (Destroy on completion of action, or when no longer required for analysis, whichever is later.) N1-361-91-16

735.50 Repository Management Reports. Engineer Drawing Automated Storage and Retrieval Equipment (EDASRE) and SAMMS statistical and workload summaries. (Destroy when no longer needed for reference or analysis.) N1-361-91-16

735.60 Index Purge Listings. System reports used for purging engineering drawings. (Destroy on completion of required actions.) N1-361-91-16

735.70 Engineering Drawing Requisitions. Correspondence and messages requesting engineering drawings from engineering support activities and manufacturers and related communications on proprietary rights or deficiencies.

735.70A Successful actions. (Destroy on completion of action.) N1-361-91-16

735.70B Unsuccessful actions. (Destroy after 5 years, or when no longer required for follow-up or reference, whichever is later.) N1-361-91-16

735.80 Engineering Drawing Purchases. Retained supply requisition and related control media on the purchase of engineering drawings from manufacturing sources. (Destroy after 1 year.) N1-361-91-16

735.90 Drawing Restoration. Logs and other control documentation identifying restored drawings. (Destroy when no longer needed.) N1-361-91-16

DEFENSE LOGISTICS SERVICES

750 DEFENSE LOGISTICS SERVICES. Relates to the operation, system discipline, and dissemination of logistics data for the Federal Catalog System (FCS), Defense Logistics Information System (DLIS), the Military Engineering Data Asset Locator System (MEDALS), and other assigned logistics information systems.

750.01 Logistics Services Program/Project Files. Documents related to the formulation, management, administration and execution of individual Logistics Services programs/projects such as plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after

termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-18

750.02 Logistics Services Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Logistics Services matters such as interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

750.02A HQ DLA. (Destroy after 2 years.) N1-361-91-18

750.02B Other activities. (Destroy after 1 year.) N1-361-91-18

751 TECHNICAL. Relates to development and maintenance of FCS cataloging tools and related System Support Record (SSR) files.

751.10 Item Name Collaboration Action Requests. DD Forms 180 and similar actions, and supporting documents. (Destroy after 2 years.) N1-361-91-18

751.12 Mass Change Records. Cross reference notes, total item record extracts, and related records. (Destroy after 2 years.) N1-361-91-18

751.14 Logistics Data Management Reports. System reports used to maintain, update, and analyze data with the total item record. (Destroy when no longer needed for reference.) N1-361-91-18

751.16 Master Requirements Directory. Material tables and replies used to describe items within the Federal Supply Centers. (Destroy when determined obsolete.) N1-361-91-18

752 INTERNATIONAL CODIFICATION. Relates to providing liaison and codification services to North Atlantic Treaty Organization (NATO) and other foreign countries.

752.10 AC/135 Panel A Meeting Minutes. Copies of meeting minutes, action items, messages, and similar records related to NATO codification of equipment. (Destroy after 3 years.) N1-361-91-18

752.12 Technical Data Files. Repository of technical data documentation such as engineering drawings, specifications, commercial catalogs, and similar data from manufacturers pertaining to individual items of production and used in item identification processes. (Destroy when obsolete, superseded, or no longer needed for reference.) N1-361-91-18

752.14 Cataloging Action Files. Correspondence and supporting documentation pertaining to cataloging actions such as codification requests, cataloging change proposals, and cancellation requests. (Destroy after automated system reflects change.) N1-361-91-18

752.16 Foreign Military Sales (FMS) Case Files. Copies of FMS sales agreements, amendments, correspondence, final statements, and related supporting documentation accumulated as a result of providing cataloging services to foreign governments. (Destroy when no longer needed for reference.) N1-361-91-18

753 SYSTEMS MANAGEMENT. Relates to actions pertaining to logistics management data, system surveillance, systems documentation, and management statistical reporting for the FCS as well as assignment and maintenance of CAGE Codes and certification of militarily critical technical data agreements.

753.10 Master System Change Request (SCR) File. Original requests, tracking documents, cost estimates, man-hour and completion date projections, point papers, acceptance test plan, test results, functional description changes, test transactions, implementation plans and related background material pertaining to cataloging system change requests. (Destroy when no longer needed for reference.) N1-361-91-18

753.12 System Problem Reports. Copies of problem notifications, tracking and projections, and similar records pertaining to resolution of system problems. (Destroy after 2 years.) N1-361-91-18

753.14 Militarily Critical Technical Data Agreements. Copies of forms used by contractors to request certification, certifications, and similar records pertaining to contractor eligibility to receive militarily critical technical documentation. (Destroy after 5 years. Exception: Agreements containing major changes, bring original agreement forward to current file.) N1-361-91-18

753.16 Certified Access Files. Microfiche copies containing contractor certification numbers used to support data release decisions. (Destroy upon receipt of updated copy.) N1-361-91-18

753.18 Supply Code Requests. Copies of requests for assignment of Commercial and Government Entity (CAGE) codes, A/C 135 forms, and similar records pertaining to assignment of supply codes to manufacturers. (Destroy when obsolete, superseded, or no longer needed for reference.) N1-361-91-18

753.20 Supply Code Maintenance Files. Microfiche copies produced from on-line system listing all CAGE codes assigned, information about the corporate structure and affiliations of companies assigned CAGE codes, and other information relative to contractors. (Destroy upon receipt of updated copy.) N1-361-91-18

753.22 Part Number Summaries. Correspondence, copies of part numbering structures, summaries, CAGE code listings, and related records used to develop manufacturer's part number summaries. (Destroy when obsolete, superseded, or when no longer needed for reference.) N1-361-91-18

753.24 Manufacturer Case Files. Copies of contractor name change notifications, legal documentation, and other records pertaining to contractor status used to maintain accuracy of CAGE code files. (Destroy when obsolete, superseded, or no longer needed for reference.) N1-361-91-18

753.26 Item Management Coding (IMC) Files. Copies of IMC-1 statistical reports used to analyze trends for service-managed consumable items. (Destroy after 2 years.) N1-361-91-18

753.28 Government/Industry Reference Data Edit and Review (GIRDER) Files. Correspondence and similar records pertaining to industry review of accuracy of industrial data contained in government maintained systems used to update DLIS. (Destroy when no longer needed for reference.) N1-361-91-18

756 INFORMATION DISSEMINATION MANAGEMENT. Relates to developing, analyzing, preparing, maintaining, reviewing, and controlling the media for disseminating all logistics data management information.

756.10 Statistical Reports. Details and summaries of customer transactions on the Logistics Remote Users Network (LOGRUN), MEDALS and similar items. (Destroy after 5 years, or when no longer needed for reference, whichever is later.) N1-361-91-18

756.12 Descriptive Publication Requirements Guides. Customer surveys on product design and requirements. (Destroy 1 year after final action.) N1-361-91-18

QUALITY ASSURANCE

770 QUALITY ASSURANCE. Relates to the implementation of quality assurance, within depots, contracting, and contract management activities.

770.01 Quality Assurance Program/Project Files. Documents related to the formulation, management, administration and execution of individual Quality Assurance programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents.

770.01A HQ DLA. (Permanent. Transfer to National Archives in 5-year blocks when 30 years old.) N1-361-91-14

770.01B Other activities. (Destroy after 1 year.) N1-361-91-14

770.02 Quality Assurance Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Quality Assurance matters including interpretations and decisions on

applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

770.02A HQ DLA. (Permanent. Transfer to National Archives in 5-year blocks when 30 years old.) N1-361-91-14

770.02B Other activities. (Destroy after 1 year.) N1-361-91-14

770.03 Professional Development and Certification. Individual development plans, system and commodity certifications and recertifications, and related documents. (Destroy when no longer needed, or if employee transfers, forward to gaining organization. Exception: Give to the employee when the employee is moving to a position where certification is not required.) N1-361-91-14

770.04 International Organization for Standardization (ISO) Quality System Records. Internal and external surveillance audits, management reviews, customer complaints, corrective actions, follow-up audits, and related records accumulated as a result of ISO registration and used to document implementation and effectiveness of compliance with ISO standards. (Retain in current files area. Destroy 3 years after completion of action.) N1-361-97.4

773 CONTRACT MANAGEMENT QUALITY. Relates to the implementation of quality assurance, specialized safety programs and procedures, including the planning and management of technical, quality assurance engineering, and operational support programs within Defense Contract Management activities.

773.10 Quality Assurance Program Evaluations. Process reviews, statistical analyses, trend analyses, and related items pertaining to contractor quality programs.

773.10A Routine. (Destroy after 2 years.) N1-361-91-14

773.10B Non-routine. (Destroy 2 years after completion of corrective action.) N1-361-91-14

773.15 Contract Requirements and Briefs. Records reflecting quality requirements on specific contracts including contract briefs and requests for special service and support. (Destroy 1 year after completion of contract.) N1-361-91-14

773.16 Quality Assurance Contracts. Case files relating to individual contracts. (Destroy 2 years after close of contract except:

(1) If a NASA contract, and NASA has prescribed a retention period of longer than 2 years, the retention period shall be as prescribed.

(2) If the Contract contains a warranty provision for a period greater than 2 years, the retention period shall be the warranty period

(3) If it can be determined that there will be or there is a good probability that there will be litigation on the contract, the file shall be retained until resolution of the litigation and then destroyed.

NOTE: Copies of contracts and contract modifications contained in the contract file should be removed and destroyed within 90 days after the contract is closed since these documents are contained in the official contract file.) NC1-361-76-16

773.20 Deficiency and Improvement Reporting. Corrective action requests, continuous improvement opportunities, material review board actions, field failure reports, customer complaints, related databases and similar actions.

773.20A Level I, Nuclear and Subsafe. (Destroy 3 years after completion of the action or through the warranty period, whichever is later.) N1-361-91-14

773.20B All others. (Destroy 2 years after completion of action.) N1-361-91-14

773.25 Support Actions. Quality evaluations and reviews performed for contract management functions and other activities such as source selection information requests, post-award conferences, determinations on necessity and economics of repair of Government-furnished property, and similar actions. (Destroy 2 years after contract closure.) N1-361-91-14

773.30 Lab Testing. Laboratory reports, certifications, and related documents pertaining to destructive and non-destructive testing, and material analysis.

(Destroy after 2 years or when no longer needed for reference, whichever is longer.) N1-361-91-14

773.35 Reimbursable Labor. Records of labor hours expended under arrangements for reimbursable contract management services such as NASA and foreign military sales contracts. (Destroy 2 years after contract closure.) N1-361-91-14

773.40 Contractor Facility Assessment and Surveillance. Risk assessments, records of specific contract surveillance requirements, notes and other records of day-to-day activities. (Destroy upon termination or completion.) N1-361-91 14

773.45 Contractor Mishaps. Contractor mishap investigations of DLA administered contracts and related documents. (Destroy 6 years and 3 months after litigation has closed or when no longer needed for reference, whichever is later.) N1-361-91-14

773.50 Flight Operations. Documents pertaining to flying operations and flight safety used in the management and reporting of DLA military flight operations, manpower, training and safety. Includes manpower actions, correspondence, annual flight operations and safety survey reports, policy letters, waiver requests/approvals, quarterly flight operations reports, daily flight authorizations, and flight safety/mishap documents. (Destroy after 3 years or when no longer needed for current operations, whichever is later. Destroy daily flight authorizations after 1 year.) NC1-361-93-2

773.55 Contractor Flight Operations. Case files pertaining to individual contractor flight operations and flight safety programs used in the management and reporting of individual contractors flight operations, manpower, training, and safety programs. (Destroy after 3 years or when no longer needed for current operations, whichever is later. Destroy daily flight authorizations after 1 year.) N1-361-93-2

773.60 Specialized Safety. Documents regarding safety programs related to specialized safety and aircraft ground safety. (Destroy after 6 years.) NC1-361-81-13

773.65 Specialized Safety Surveys. Survey reports, requests for corrective action, corrective action plans, follow-up surveys, and related correspondence. (Destroy 2 years after completion of required actions.) NC1-361-81-13

773.70 Contractors Specialized Safety. Case files pertaining to individual contractors specialized safety and aircraft ground safety. (Destroy after 3 years or when no longer needed for current operations, whichever is later.) NC1-361-81-13

775 CONTRACTING QUALITY. Relates to the development and establishment of contract quality assurance requirements, policies, programs, and systems at DLA supply centers.

775.10 Contractor and Government Entity Code (CAGE) Files. Item and contract information, papers relating to purchases, specifications, waiver deviations, letters of instruction, and requests for engineering support. Includes reports relating to inspections, receiving, storage, quality control, test and lab results, and related materials used to evaluate adequacy of technical requirements, product conformance, inspection and test results; participate in inspections, pre-award and post-award conferences; issue letters of instruction and provide technical guidance; resolve quality problems; evaluate requests for waivers and deviations; and resolve customer/depot complaints. (Destroy 6 years and 3 months after final payment.) N1-361-91-14

775.15 Quality History Files. Documents relating to an item, type of item, or contractor pertaining to unsatisfactory item quality, such as suspended purchase requests, quality complaints, evaluations, drawings, records of corrective or follow-up actions and related records. Excludes deficiency reports which have no value for quality history purposes.

775.15A Item file. (Destroy 3 years after item transfer.) N1-361-91-14

775.15B Contractor file. (Destroy 6 years and 3 months after final payment.) N1-361-91-14

775.20 Specification File. Specifications and codes, copies of purchase requests, urgent data requests, Government/industry data exchange alerts, requests for engineering/technical support, qualified product lists, interrogation replies, variable inquiries, conversation records, correspondence and notes used to review product specifications and recommend improvements. (Destroy 1 year after specification is revised or cancelled.) N1-361-91-14

775.25 Customer Depot Complaint System (CDCS) File. Complaints, storage reports, product quality deficiency reports, other reports of deficiency, transportation discrepancies, audit reports, depot storage reports, and other related items in the automated CDCS, used to control and track complaints, and generate automated management reports.

775.25A Records relating to shipping. (Purge data base 2 years after problem is closed out. Destroy microfiche or tape when no longer needed for current business.) GRS 23, Item 8

775.25B Other records. (Purge data base 5 years after problem is closed out. Destroy microfiche or tape when no longer needed for current business.) GRS 23, Item 8

775.30 Inspection, Test, and Sampling Plans. Inspection checklists, sampling plans, test plans, and waivers for testing used to implement and develop Quality Assurance Provisions (QAP) for input to contracts and to determine type of contract quality, inspection, testing, calibration, shelf life, and bid sample requirements. (Destroy 2 years after contract closure.) N1-361-91-14

775.35 Verification Testing. Requests for verification testing, funding documents, test plans, material release orders, computer tracking documents, coordinations, complaints documentation, and other backup materials used to justify and arrange verification testing. (Destroy 2 years after contract closure.) N1-361-91-14

775.40 Lab Testing. Backup materials for lab results such as complaints used to identify needs for laboratory testing and subsequent requests for lab testing. (Destroy 2 years after contract closure.) N1-361-91-14

775.45 Storage Standards. Basic text, changes and backup material used to develop and update quality assurance storage standards for depot quality control programs. (Retain current and previous issue of standards, changes, and backup material in current file area. Destroy when superseded.) N1-361-91-14

775.50 Cost Management. Comparative narratives, costs of quality by account code, office, division, etc., and related statistical data and correspondence used to develop and maintain cost of quality information for DLA-managed items. (Destroy after 2 years.) N1-361-91-14

775.55 Statistical Technique History File. Statistical technique formulation data, staff memos, and related background materials and correspondence used to develop statistical techniques for application in contracts, commercial activity documents, measurements, evaluations, and storage standards. (Destroy after 3 years or when litigation has been closed, whichever is later.) N1-361-91-14

775.60 Substitute/Counterfeit Material Investigations. Requests for inspections, allegations, inspection reports, meeting minutes and related correspondence used to investigate and report on unauthorized substitute/counterfeit materials. (Destroy 6 years after case is closed.) N1-361-91-14

775.65 DLA Quality Audit File. Inspection reports, data input forms and other materials used to develop and implement internally unique operational procedures and provide technical guidance for the specific accomplishment of the DLA Quality Audit mission. (Destroy when no longer needed for reference.) N1-361-91-14

777 DEPOT QUALITY. Relates to the administration of programs for the performance and reporting of product quality audits and special inspection of DLA-managed items stored at DLA storage activities.

777.10 Technical Data Files. Specifications, standards, drawings, and blueprints of DLA-managed items used to support technical inspection of a product. (Destroy when no longer needed.) N1-361-91-14

777.15 National Stock Number (NSN) Audit Files. Contract copies, supporting technical data, requests for testing, findings, product verification records, correspondence and similar records relating to audited products. (Destroy after 1 year.) N1-361-91-14

777.20 Calibration Files. Listings, printouts, correspondence, calibration audit findings, and similar records relating to calibration of inspection and testing devices. (Destroy when equipment is no longer in use.) N1-361-91-14

777.25 Quality Audit Summaries. Data summaries, receipt inspection forms, listings, and similar records used to summarize monthly audit results. (Destroy after 1 year.) N1-361-91-14

777.30 Quality Control Schedules. Reports, listings, printouts, and similar records used to select and schedule locations for audit and statistical analysis. (Destroy after 1 year.) N1-361-91-14

777.35 Functional Quality Audit Files. Listings, printouts, sample data, observation records, correspondence, report and recommendations, and similar records accumulated during performance of audit. (Destroy after 1 year.) N1-361-91-14

777.40 Special Quality Audit Files. Correspondence, messages, action plan, sample data, observation records, report and recommendation, and similar records accumulated during performance of unscheduled (special) audits. (Destroy after 3 years.) N1-361-91-14

777.45 Quality Audit Discrepancy Files. Conversation records, discrepancy reports, investigation forms, printouts, correspondence, investigation results, and similar records relating to customer complaint investigations. (Destroy after 1 year.) N1-361-91-14

777.50 Quality Audit Follow-up Files. Records relating to audit/verification of corrective actions taken to correct deficiencies. (Destroy after 3 years.) N1-361-91-14

777.55 Problem Resolution Files. Correspondence, messages, copies of customer complaints, reports of litigation visit and corrective action taken, and similar records relating to contractor visits to upgrade or resolve problems with materiel under litigation. (Destroy after 3 years.) N1-361-91-14

777.60 Quality Data Evaluation Charts. Pareto charts, graphs, and similar statistical tools used to display data relating to the performance of various quality audit functions. (Destroy after next update, or when no longer needed for reference.) N1-361-91-14

777.65 Quality Audit Support. Records relating to educational support to operational areas. Includes records such as training materials, booklets, checklists (functional), standard operating procedures, flow charts, viewgraphs, and related backup materials used to improve functional area effectiveness. (Destroy when no longer needed.) N1-361-91-14

CONTRACTING AND PRODUCTION

810 CONTRACTING AND PRODUCTION. Relates to providing contracting and production support for all supplies and services for central acquisition; support of DLA, DoD, and civil agencies as defined in Interservice Support Agreements; and local purchase support.

810.01 Contracting and Production Program/Project Files. Documents related to the formulation, management, administration and execution of individual Contracting and Production programs/projects such as program plans, studies and

analyses, reports, letter guidance and direction, and related documents.
(Destroy 2 years after termination of program effort, or when no longer
required, whichever is sooner.) N1-361-91-04

810.02 Contracting and Production Correspondence Files. Documents providing
general direction, staff guidance and reporting in the management and
administration of Contracting and Production matters including interpretations
and decisions on applicability, requests for waivers and exceptions, data calls
and periodic reporting, and similar documents not covered elsewhere.

810.02A HQ DLA. (Destroy after 2 years.) N1-361-91-04

810.02B Other activities. (Destroy after 1 year.) N1-361-91-04

811 CONTRACTING PREAWARD. Relates to contracting planning and purchasing for
all items assigned for contracting, including single department acquisition
items and installation support; implements Small and Disadvantaged Business,
Economic Utilization, and other programs.

811.25 Debarred, Suspended, and Ineligible Contractors. Lists of debarred
contractors used as a preventive measure against the solicitation or acceptance
of offers from contractors that have been debarred from receiving Government
contracts. (Destroy when superseded.) N1-361-91-04

811.50 Contract Files. [See note after item 811.50D.] Contract, requisition,
purchase order, lease, and bond and surety records, including correspondence and
related papers pertaining to award, administration, receipt, inspection and
payment (other than those covered elsewhere). [See note after item
811.50A(2)(b).]

811.50A Procurement or purchase organization copy, and related papers.

811.50A(1) Transaction dated on or after July 3, 1995 (the effective date of the
Federal Acquisition Regulations (FAR) rule defining "simplified acquisition
threshold").

811.50A(1)(a) Transactions that exceed the simplified acquisition threshold and
all construction contracts exceeding \$2,000. (Destroy 6 years and 3 months after
final payment.) GRS 3, Item 3a(1)(a)

811.50A(1)(b) Transactions at or below the simplified acquisition threshold and
all construction contracts at or below \$2,000. (Destroy 3 years after final
payment.) GRS 3, Item 3a(1)(b)

811.50A(2) Transactions dated earlier than July 3, 1995.

811.50A(2)(a) Transactions that utilize other than small purchase procedures and
all construction contracts exceeding \$2,000. (Destroy 6 years and 3 months after
final payment.) GRS 3, Item 3a(2)(a)

811.50A(2)(b) Transactions that utilize small purchase procedures and all
construction contracts under \$2,000. (Destroy 3 years after final payment.)

[NOTE: Given the complexities of the rules on procurement, agencies should
involve procurement officials when deciding which of the sub-items to apply to a
particular series of records.] GRS 3, Item 3a(2)(b)

811.50B Obligation copy. Destroy when funds are obligated. GRS 3, Item 3b

811.50C Other copies of records described above used by component elements of a
procurement office for administrative purposes. (Destroy upon termination or
completion.) GRS 3, Item 3c

811.50D Data Submitted to the Federal Procurement Data System (FPDS). Electronic
data file maintained by fiscal year, containing unclassified records of all
procurements, other than small purchases, and consisting of information required
under 48 CFR 4.601 for transfer to the FPDS. (Destroy or delete when 5 years
old.) GRS 3, Item 3d

811.50E FMS Contracts. (Destroy 10 years after final payment.) N1-361-99-1

811.50F Electronic version of records created by electronic mail, word
processing, and other office automation applications, such as spreadsheet and
presentation applications. (Delete when the file copy is generated or when no
longer needed for reference or updating, whichever is later.) N1-361-99-1

NOTE: Unique procurement files are not covered by this records series. With the standardization of the Government-wide procurement process under the FAR, such records are unlikely to exist. However, if an activity believes that a procurement file that has long-term research value, contact the DLA Records Manager to request a change to this records schedule.

811.75 Contract Snapshot Reports. Computer generated reports that provide a snapshot of a particular week in the execution of a contract, used as a management tool in determining the progress of a contract. (Destroy upon termination or completion.) GRS 20, Item 3 and GRS 3, Item 3.

812 CONTRACTING ANALYSIS. Relates to the development, monitoring, coordination and publication of implementing policies and programs. Includes analysis and establishment of overall policies and activities including ADP systems support needs.

812.10 Policies, Procedures, Plans and Programs. Legislative initiatives, protests, complaint letters, basis for change, investigations and analyzes, exemption/deviation requests, implementing guidance, and related backup materials and correspondence used to standardize contract clauses, and assess impact of legislation, for the ultimate development, evaluation, and publication of policies, procedures, plans, and programs. (Destroy when superseded, obsolete, or no longer needed.) N1-361-91-04

812.30 Information Requests. Copies of requests for information from contractors, cover letters, responses to requests and related backup data. (Destroy 2 years after date of request.) N1-361-91-04

812.50 Inquiries and Reviews. Copies of Acquisition Management reviews; suppliers protests; Hotline, Fraud, Waste and Abuse and similar reviews and audits, related analyses, responses and backup materials used to follow-up on actions required as a result of the review or audit. (Destroy when superseded or no longer needed for reference.) N1-361-91-04

812.70 Delegations of Authority/Warrants. Lists, correspondence and related backup materials used to issue buying authority and impose limits to that authority. (Destroy when superseded or when authority has expired.) N1-361-91-04

812.90 Emergency Procurement Plan. Copies of Basic Emergency Plans and mobilization plans from DLA and field activities. Includes communication records, messages, document transmittal forms and correspondence generated as a result of participation in special exercises. (Destroy when obsolete, superseded, or no longer needed.) N1-361-91-04

813 SOURCE DEVELOPMENT. Relates to the management of competition initiatives and efforts, providing operational control and coordination support for enhancing competition, establishment and management of competition goals.

813.30 National Stock Number (NSN) Files. Source requirement lists, data on procurement and pricing, contractor product qualification correspondence, item queries, records of significant contract events, evaluations of competition achievement reports, recommendations for contract awards, lists and reports of awards, incentive award nominations and approvals, performance recognition data sheets, industry correspondence, acquisition plan review sheets and related printouts, market surveys and research to develop sources, communication records, form letters, and correspondence used to establish competition initiatives, search and locate new sources of selected items, consider proposed noncompetitive procurement actions and future competition screening, monitor and publicize incentive programs for increasing competition. (Destroy when item is obsolete, item purchases have ceased, or when no longer needed.) N1-361-91-04

813.60 Unsolicited Proposals. Unsolicited offers and proposals from industry and related correspondence used to coordinate unsolicited proposals. (Destroy 1 year after date of award or final payment, whichever is later.) GRS 3, Item 5

814 PRICING. Relates to providing analysis and other technical advice on cost, price and financial matters.

814.10 Pricing Management. Documents relating to the overall administration of pricing functions. (Destroy 6 years after supersession or obsolescence.) N1-361-91-04

814.20 Pricing and Finance Policy and Programs. Documents relating to the implementation of pricing policies and related regulations and instructions, and the conduct and reporting of pricing programs. (Destroy 6 years after supersession or obsolescence.) N1-361-91-04

814.30 Pricing Registers. Registers maintained to record and control the assignment of pre-award price analysis requests, post-award overpricing reviews, voluntary refund efforts, contract audit follow-up, and other reviews and assistance provided by pricing. (Destroy 6 years after final entries are made on all procurement actions entered for a fiscal year.) N1-361-91-04

814.50 Contractor Pricing General. Contractor catalogs, price lists, financial statements, correspondence and other pricing and financial information and reports of externally and internally performed reviews, along with all supporting documents, relevant to the estimating, pricing, accounting, billing and financial policies, procedures, practices, and capability/status of specific contractors. (Destroy after 5 years, except documents associated with controversial matters or which establish an historical pricing data bank. Excepted records shall be retained beyond the aforementioned period until their purpose has been served and then destroyed.) N1-361-91-04

814.70 Price/Cost Analysis. Correspondence, reports, and all supporting documents of price/cost analyses in support of a specific contract action, including pre-award pricing, contract re-pricing, terminations, etc. (Destroy after 9 years if the resulting contract action is subject to price reduction due to defective cost or pricing data, catalog data, etc; otherwise, destroy after 4 years; except that documents associated with controversial matters shall be retained beyond the aforementioned period until their purpose has been served and then destroyed.) N1-361-91-04

814.90 Post-award Overpricing. Correspondence, reports, and all supporting documents of post-award reviews of potential overpricing and re-coupment actions with an award or group of awards involving a specific National Stock Numbered item or group of items. (Destroy after 8 years if related to reviews of items that achieved high visibility, (e.g., via a newspaper article or public hearing); otherwise, destroy after 4 years; except that documents associated with controversial matters shall be retained beyond the aforementioned period until their purpose has been served and then destroyed). N1-361-91-04

815 OPERATIONS. Relates to the provision of centralized, specialized contracting support services.

815.20 Support Services. Bidders lists, contract bids, commodity listings, mailing lists, solicitations and offers, contract amendments, no bid responses, late bids, notices of late receipt, mailing list applications, mailing list removal requests, form letters, and related correspondence and documentation used for the preparation of abstracts, conducting bid openings, and classifying bidder capabilities. (Destroy when superseded, obsolete, or no longer needed.) N1-361-91-04

815.40 ADP Control. Copies of purchase requests, purchase orders, modifications, contracts, production progress reports, delay in delivery notices, and large purchase award worksheets used to input data to an automated system and provide a reference for input error identification and correction. (Destroy after 2 years.) N1-361-91-04

815.60 Award Rejects. Computer printouts used to identify post-award rejects, validate shipment receipts and expenditure violations. (Destroy after buyer corrects discrepancy.) GRS 20, Item 3 and GRS 3, Item 3

815.80 Acquisition History File. Copies of solicitations, abstracts and cards used to review acquisition assignments and report infringements that cannot be resolved. (Destroy when no longer needed.) N1-361-91-04

817 PRODUCTION. Relates to manufacturing engineering research, production management, industrial preparedness, and industrial resource management support to the contracting and production program.

817.10 Manufacturing Engineering Research. Documents concerning manufacturing technology programs, industrial modernization incentives programs, and planning, programming, and budgeting actions consistent with the needs of the various developmental projects. (Destroy when superseded, obsolete, or no longer needed.) N1-361-91-04

817.20 Production Management. Documents relating to acquisition plans, economic production runs, economic buys, production lead times, industry capacity, contracting data packages, pre-award surveys, technical guidance on production matters, contractor performance, value engineering/analysis, other production cost reduction programs, and planning, programming, and budgeting actions consistent with the needs of production management. (Destroy when superseded, obsolete, or no longer needed.) N1-361-91-04

817.30 Contractor Performance. Contract performance, delinquency and discrepancy reports used for pre-award review and to evaluate contractor performance and provide information and recommendations on contractor performance. (Destroy after 1 year.) N1-361-91-04

817.40 Industrial Preparedness. Documents relating to emergency/ mobilization requirements, industry capacity/capability, mobilization production planning schedules, industry impact and conversion capability, mobilization lead times, supporting the peacetime contracting mission, remedial actions to resolve deficiencies, production base analysis development, industrial plant equipment and tooling requirements, and planning, programming, and budgeting actions consistent with the needs of industrial management. (Destroy when superseded, obsolete, or no longer needed.) N1-361-91-04

817.50 Mobilization Planning. Documents relating to DLA mobilization plans (BEP and FABEP) to include correspondence relating to DLA emergency support plans, staffing, and mission requirements. (Destroy when superseded, obsolete, or no longer needed.) N1-361-91-04

817.70 Contract Locator. Contract locator cards, registers, data sheets, and summary listings used to track the location of contract files. (Destroy when related contract file is destroyed.) N1-361-91-04

818 CONTRACT REVIEW. Relates to the assurance of high quality contracting actions during all phases of the contracting process.

818.10 Contract Evaluations. Proposed awards and acquisition plans, copies of acquisition plan evaluations, proposed award/post-award checklists, computer reports of errors and inadequacies used to propose purchase actions, review acquisition plans, review and recommend awards of proposed contracts or recommend remedial buyer training, evaluate requests for waivers, process requests for letter contracts, conduct pre-solicitation reviews, uniformly apply contracting directives and laws, choose optimum methods of contracting, resolve contracting problems, ensure contracting data is adequate and ensure applicable clearances have been obtained. (Destroy 3 years after contract is awarded or when issue is no longer significant, whichever is later.) N1-361-91-04

818.20 Canceled Procurement Requests (RFP/IFB Issued). Documents relating to proposed procurement actions which are canceled after issuance of invitations for bids (IFB) or requests for proposals (RFP) because of cancellation of the requirement or other factors causing the contracting officer to determine that an award will not be made. (Destroy 5 years after cancellation.) N1-361-91-04

818.30 Evaluation History File. Registers, logs, and checklists used for future contract evaluation analyses. (Destroy after 5 years.) N1-361-91-04

818.50 Contracting Policy Studies. Copies of contracting policy studies and analyses, notes, newspaper and magazine articles, contract presentations and related materials used to study, evaluate, and comparatively analyze the application of contracting policies as applied to individual contracts and to develop recommendations for revision of procedures and methods to enhance acquisitions and support. (Destroy when no longer needed or when issue is no longer significant, whichever is sooner.) N1-361-91-04

818.70 Contract Announcements. Contract announcement forms, correspondence, and related documentation used to announce contracts of \$5 million and over. (Destroy when related contract file is destroyed.) N1-361-91-04

818.90 Internal Control Processes. Annual certifications, management control plans, risk assessment schedules, vulnerability assessments, test results, instructional material, special study results, audit reports, and related correspondence, forms and checklists used to review, test and evaluate the effectiveness of the internal control processes and administrative/technical controls to prevent fraud, waste, abuse, and mismanagement in contracting. (Destroy after 10 years or when no longer needed, whichever is sooner.) N1-361-91-04

819 ENERGY MARKET RESEARCH. Relates to the review and analyses of energy market conditions in support of decisions pertaining to the management of major energy products/categories.

819.10 Energy Market Research Files. Studies, reports, economic price adjustments (EPAs), price escalation references, correspondence, memorandums, recommendations, responses to complaints, reviews, analyses (production, market sales data, price, trends in market conditions), and similar records pertaining to the management of energy products. (Destroy after 10 years.) N1-361-93-4

CONTRACT MANAGEMENT

830 CONTRACT MANAGEMENT. Relates to the directing and accomplishment of responsibilities in the administration of contracts including: contract administration, evaluation and negotiation; cost/price and financial analysis, production surveillance; property management; transportation and packaging, competition advocacy; and other functions as assigned.

830.01 Contract Management Program/Project Files. Documents related to the formulation, management, administration and execution of individual Contract Management programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-13

830.02 Contract Management Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Contract Management matters including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

830.02A HQ DLA. (Destroy after 2 years.) N1-361-91-13

830.02B Other activities. (Destroy after 1 year.) N1-361-91-13

831 CONTRACT OPERATIONS. Relates to the providing of technical guidance and exercise of staff supervision over the implementation of contract administration, evaluation and negotiation; development and coordination of policies, procedures, plans, and programs; providing leadership and administering periodic reviews of contract management functions.

831.01 Defense Acquisition Regulatory Case Files. Case files used for discussion at Defense Acquisition Regulatory (DAR) Council meetings. Includes reports, letters, memorandums, clauses, proposed language, agendas and taskings which constitute the history of procurement regulations, the Federal Acquisition Regulation (FAR), and the Defense FAR Supplement.

831.01A HQ DLA Deputy Director (Acquisition). (Permanent. Transfer to the National Archives in 5-year blocks when 30 years old.) NC1-361-76-13

831.01B Other offices. (Destroy when superseded, obsolete, or no longer needed for reference.) NC1-361-76-13

831.05 Contracts. [See note after item 831.05D.] Individual and subcontract case files accumulated from the administration of individual contracts and consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere). [See note after item 831.05A(2)(b).]

831.05A Procurement or purchase organization copy, and related papers.

831.05A(1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold").

831.05A(1)(a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000. (Destroy 6 years and 3 months after final payment.) GRS 3, Item 3a(1)(a)

831.05A(1)(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000. (Destroy 3 years after final payment.) GRS 3, Item 3a(1)(b)

831.05A(2) Transactions dated earlier than July 3, 1995.

831.05A(2)(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000. (Destroy 6 years and 3 months after final payment.) GRS 3, Item 3a(2)(a)

831.05A(2)(b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000. (Destroy 3 years after final payment.)

[NOTE: Given the complexities of the rules on procurement, agencies should involve procurement officials when deciding which of the sub-items to apply to a particular series of records.] GRS 3, Item 3a(2)(b)

831.05B Obligation copy. (Destroy when funds are obligated). GRS 3, Item 3b

831.05C Other copies of records described above used by component elements of a procurement office for administrative purposes. (Destroy upon termination or completion.) GRS 3, Item 3c

831.05D Data Submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS. (Destroy or delete when 5 years old.) GRS 3, Item 3d

831.05E FMS Contracts. (Destroy 10 years after final payment.) N1-361-99-1

831.05F Electronic version of records created by electronic mail, word processing, and other office automation applications, such as spreadsheet and presentation applications. (Delete when the file copy is generated or when no longer needed for reference or updating, whichever is later.) N1-361-99-1

NOTE: Unique procurement files are not covered by this records series. With the standardization of the Government-wide procurement process under the FAR, such records are unlikely to exist. However, if an activity believes that a procurement file that has long-term research value, contact the DLA Records Manager to request a change to this records schedule.

831.05 Contracts. Individual and subcontract case files accumulated from the administration of individual contracts and consisting of purchase orders, contracts, comparable instruments, and other documentation, as applicable, as required by FAR.

831.05A Part A Contracts. (Upon completion of contract, place in appropriate closed file depending on dollar value. Cutoff closed files at annual or more frequent intervals, hold a comparable period, and unless eligible for immediate disposal, retire for ultimate disposal as indicated:

831.05A(1) Transactions of more than \$25,000. (Destroy 6 years and 3 months after final payment.) N1-361-91-13

831.05A(2) Transactions of \$25,000 or less. (Destroy 3 years after final payment.) N1-361-91-13

831.05B Part B Contracts. (Destroy when completed and finally paid.) N1-361-91-13

831.10 Cost Accounting. Federal Acquisition Regulation (FAR) and Administrative Contracting Officer (ACO) Cost Accounting Standards (CAS), audit reports and findings, pricing reviews, contractor disclosure statements and revision requests, adequacy/inadequacy determination letters, noncompliance decisions, negotiation memorandums, correspondence with contractors relating to cost impacts and proposals used for research and review in the administration of cost accounting standards and compliance. (Destroy when superseded, obsolete, or no longer needed for reference, whichever is sooner.) N1-361-91-13

831.15 Contractor Accounting System Review Records. DCAA approved/disapproved systems reports, pricing reviews, technical reviews, ACO disapproval letters, contractor correction notifications, revised DCAA reports, and related records used to monitor contractor accounting systems. (Destroy after 3 years.) N1-361-91-13

831.20 Debarment and Suspension Files. Documents pertaining to contractor performance, correspondence, debarment recommendation letters, meeting minutes, notifications to buying activities, contractor rebuttals, debarment notification letters, Contractor Improvement Program (CIP) letters, and similar records related to contractor nonperformance issues. (Destroy 2 years after debarment/suspension action lifted.) N1-361-91-13

831.25 Administrative Contracting Officer Appointment Files. Documents pertaining to the warranting of Contract Officers. (Destroy 3 years after termination of appointment.) N1-361-91-13

831.30 Contractor Disclosure Statements. Cost accounting standards board disclosure statements, revisions, ACO approval letters, and similar records related to contractor disclosure of Cost Accounting Standards (CAS) practices. (Destroy when superseded or no longer needed.) N1-361-91-13

831.35 Contractor System Reviews. Correspondence, checklists, review findings, ACO approval/disapproval letters, related contractor correspondence, and similar records pertaining to review of contractor purchasing, insurance, pension, compensation, Material Management Accounting Systems (MMAS), and estimating system procedures used to determine contractor CAS compliance. (Destroy 3 years after subsequent review completed.) N1-361-91-13

831.40 Contractor Overhead Rate Files. Overhead rate proposals, DCAA audit reports, pricing reviews, conversation records, pre-negotiation objectives, negotiations, correspondence, price negotiation memoranda, and related records. (Destroy when replaced by current rate file.) N1-361-91-13

831.45 Contractor Master Subcontracting Plan. Review announcement letters, forms containing subcontracting plans, review findings, ACO approval/disapproval letters, and related records used to monitor subcontracting matters. (Destroy after 2 years.) N1-361-91-13

831.50 Consent to Subcontract Files. Subcontract information documents, review recommendations, ACO approval letter, and related documents used to ensure contractor compliance with subcontractor selection procedures. (Transfer contents of file to prime contract when closed.) N1-361-91-13

831.55 Advance Agreement Files. Requests for interpretation of allowed costs on cost reimbursable contracts, documentation of agreement to allow costs, and related records pertaining to negotiations for treatment of costs. (Destroy 1

year after final overhead rates are settled pertaining to those years covered by the advance agreement.) N1-361-91-13

831.60 Novation Files. Novation requests, notarized copy of name change, correspondence, modification listing contracts affected, and related records pertaining to contractor name changes. (Destroy 1 year after novated contracts are closed.) N1-361-91-13

831.65 Forward Price Rate Agreement (FPRA) Files. Proposals, reviews, negotiations, contractor reports, cost monitor reports, tracking reports, and related records pertaining to predetermination of contract rates. (Destroy 6 years and 3 months after final payment.) N1-361-91-13

832 CONTRACT PROPERTY MANAGEMENT. Relates to the management, control, and disposition of Government property in the possession of contractors.

832.20 Contract Requirements and Obligations. Copies of financial reports provided by contractors reflecting Government property in their possession, and copies of contract closeout documents. (Destroy 3 years after contract closeout.) N1-361-91-13

832.40 Contractor Property Management. Surveys of contractors used to evaluate, approve, or effect remedial action of contractors Government property management systems. (Destroy after 3 years.) N1-361-91-13

832.60 Property Control Systems. Summaries of systems condition used to conclude all actions required to correct unsatisfactory property control systems. (Destroy after 3 years.) N1-361-91-13

832.80 Inventory Disposition Procedures. Inventory disposition procedures and related correspondence used to approve, direct, and evaluate the adequacy of contractors procedures and systems for effecting the disposition of Government property inventories. (Destroy when superseded, obsolete or no longer needed, whichever is sooner.) N1-361-91-13

832.82 Plant Clearance Files. Notices of acceptance of inventory schedules, inventory verification surveys for contractor inventory/termination inventory, reports of excess personal property, plant clearance case summary forms, contractor inventory schedules, requisition and invoice/shipping documents, scrap warranties, correspondence, and related documents used to dispose of Government property in the possession of contractors. (When closed, transfer contents of file to ACO for inclusion in contract file.) N1-361-93-5

832.84 Plant Clearance Registers. Registers maintained on electronic media reflecting the assignment of plant clearance case numbers to plant clearance cases and used for cross reference to related contracts. (Delete 6 years after close of related contracts.) GRS 23, Item 8

833 FINANCIAL SERVICES. Relates to the implementation of cost price and financial analysis, and contractor system reviews.

833.10 Price/Cost Analysis Case Files. Requests for price/cost analysis; pre-analysis assignment sheets; case file indexes; pricing checklists; requests for audit, technical or other assistance; intrinsic value review statements; contractor proposals; price analysis and audit reports; pre-analysis reviews; TACPs; contractor information; correspondence; work papers and related documentation used to perform price/cost analyses of contractor proposals; implement cost monitoring programs; analyze contractor requests for progress payments; conduct analyses of funding reports; perform reviews and evaluations of subcontracts and purchase orders; and to determine the impacts of contract costs, prices of overhead, allowability of costs, financial systems, cost accounting standards, advance agreements and similar items. (Destroy after 4 years.) N1-361-91-13

833.20 Contractor Financial Capability. Financial statements, reports, card files, correspondence with banks, and related documentation used to perform financial analyses of contractors financial capabilities on pre-award surveys,

and to maintain surveillance of contractors financial condition during contract performance. (Destroy when contractor is no longer under DLA cognizance.) N1-361-91-13

833.30 Estimating Systems Review File. Review requests, engineering reports, DCAA review schedule, meeting minutes, DCAA technical assistance request, final report, case disposition correspondence, and similar records related to performance of contractor estimating system reviews. (Destroy after 9 years.) N1-361-91-13

833.40 Overhead Activity. Review requests, contractor cost submissions, rate information, tracking data, price/cost analysis reports, audit, technical and overhead status reports, FPRA/FPRRs and formula pricing reviews, advance agreements, final overhead settlements, Independent Research & Development and Bid & Proposal, and similar records related to performance of contractor indirect cost reviews. (Destroy after 4 years.) N1-361-91-13

833.50 Cost Monitoring Activity. Cost monitoring plans, quarterly, annual and functional review reports, should cost reviews, audit and technical assistance reports on cost monitoring reviews, and similar records used to monitor costs at specific contractor locations. (Destroy after 3 years.) N1-361-91-13

833.60 Contractor Purchasing System Review (CPSR) Files. Review requests, checklists, correspondence, technical assistance requests, reports, recommendations, contractor responses, board of review invitations, board minutes, technical responses, contractor corrective action plan, evaluations of plan, summary report, and similar records accumulated as a result of reviewing contractor purchasing systems for compliance. (Destroy after 3 years.) N1-361-91-13

833.70 CPSR Working Files. Spreadsheets, statistical reports, marketing materials and other related backup materials used to prepare CPSR reports. (Destroy after 3 years.) N1-361-91-13

833.80 Non-CPSR Special Studies. Study requests, conversation records, correspondence related to study findings, contractor replies, and similar records pertaining to special studies of contractor practices. (Destroy after 3 years except merge study with CPSR File if CPSR performed later.) N1-361-91-13

833.90 Contractor Insurance/Pension Reviews (CIPR). Review requests, data received from contractors and technical advisors, Insurance Pension Specialist reports, ACO decision documentation, and related backup materials such as spreadsheets, statistical reports, and technical data. (Destroy after 3 years.) N1-361-91-13

834 INDUSTRIAL SUPPORT. Relates to the implementation of pre-award surveys, production surveillance and reporting, industrial resources and preparedness planning, and industrial labor relations.

834.10 Mobilization/Industrial Planning File. Industrial preparedness production planning schedules; control registers; plant loading records; request, registration and survey forms; property records; code listings; correspondence with contractors; memorandums of understanding; production planning schedule contracts; and related schedules and lists used to implement production policy and procedures relating to industrial resources and preparedness programs, negotiate mobilization production planning agreements, determine plant capacity available for mobilization needs and to react to emergency situations. (Destroy 2 years after end of planning year.) N1-361-91-13

834.20 Production Surveillance Files. Contract abstracts, modifications, production contract analysis and surveillance plan, correspondence, shipping documents, Quality Discrepancy Reports (QDRs), status requests, acceleration requests, progress payment records, and related documents pertaining to production activities. (Destroy 1 year after completion of contract except contracts in litigation, forward pertinent documents to assigned ACO.) N1-361-91-13

834.25 Production Surveillance Requests and Status Reporting. Logs, status requests, analyses and reports relating to abstract data corrections, contractor progress payments, acceleration, delivery and similar areas used to perform production surveillance, follow-up and liaison; conduct progress payment evaluations, overtime analyses, miscellaneous surveys, and to report on progress and status. (Destroy after 2 years.) N1-361-91-13

834.30 Pre-award Surveys. Pre-award surveys, logs, copies of solicitations, technical evaluations, production capability data, reports on quality, finance, transportation and packaging, property control, security, plant safety, environment/energy, and related materials pertaining to pre-award surveys used to direct and coordinate the pre-award program, conduct the production aspects of pre-award and related surveys, track the progress of pre-award survey teams, and respond to requests for information. (Destroy after 1 year.) N1-361-91-13

834.40 Cost Element Analyses. Technical analyses and related backup materials produced as a result of conducting cost element analyses of direct labor hours and materials on new contracts and modifications. (Destroy after 1 year.) N1-361-91-13

834.50 Contractor Performance. Monthly and annual contractor performance reports used to evaluate and provide an annual history of contractor performance. (Destroy after 1 year.) N1-361-91-13

834.60 Industrial Plant Equipment (IPE)/Other Plant Equipment (OPE) Requests. Contractor requests, Industrial Plant Representative (IPR) review and recommendations, Defense Industrial Plant Equipment Center (DIPEC) screenings, and similar records related to contractor requests for IPE/OPE. (Destroy after 5 years.) N1-361-91-13

834.70 Priorities and Allocations. Contractor requests, IPR review and recommendations, and similar documents related to processing of requests for special assistance for materials. (Destroy after 5 years.) N1-361-91-13

834.80 Utilization Surveys. Survey report, backup materials, random sample findings, rental audits, and similar records related to utilization survey of active Plant Equipment Package (PEP) and Government-furnished equipment to ensure utilization limited to Government contract items. (Destroy after 5 years.) N1-361-91-13

834.90 Special Tooling Requests. Special tooling and test equipment request forms, checklists, backup materials, reports, recommendations, and similar records related to contractor requests. (Destroy after 5 years or when no longer needed whichever is later.) N1-361-91-13

835 TRANSPORTATION AND PACKAGING. Relates to implementation of transportation, traffic management, packaging, materials handling, and travel contract management functions.

835.10 Transportation and Packaging Reviews, Surveys and Analyses. Cost analyses, Transportation Control Movement Documents (TCMD's) approval alerts, evaluation worksheets, printouts, listings, routing guides, shipping data, transportation and performance information, contractor information and data, copies of Government Bills of Lading (GBLs), Government Transportation Requests (GTRs), pre-award surveys, contractor packaging capability reviews, related correspondence and backup materials used to review, analyze or survey contractor information to determine contractor capabilities, physical distribution patterns, nature and adequacy of transportation and packaging requirements, costs, terms and conditions; to participate in pre-award surveys, post-award conferences/orientations, contractor estimating methods, contractor purchasing systems, and should cost reviews; to service applications for GBLs, Commercial Bills of Lading (CBLs) and TCMDs, and to identify contractors requiring orientation. (Destroy after 6 years.) GRS 9, Item 1c

835.15 Customs or Port of Entry Files. Documents relating to entry and admission, free of duty charges, materiel procured abroad or returned from

abroad, including Consumption Entry Permit, Summary of Entered Value, Custom Entry, or similar custom forms, related correspondence, and other documents pertaining to the entry of materiel through customs. (Destroy after 4 years.) NN-168-94

835.20 Issuance Control. Listings and printouts of GBLs, GTRs, and Military Airlift Command transportation authorizations (MTAs), contractor travel authorizations, logs and notices of receipt used to control the issuance and use of GBLs, GTRs, and MTAs. (Destroy after 3 years.) N1-361-91-13

835.30 Tonnage Distribution. Listings, printouts and applications for GBLs used to ensure proper distribution of tonnage to carriers. (Destroy after 3 years.) N1-361-91-13

835.40 Contractor Coordination. Information on contractors, shipment data, motor freight classifications, related correspondence and backup materials used to assure compliance with common carrier tariff rules and regulations, provide freight classification, routing and rating technical information to contractors, and to maintain liaison and coordination with contractors and common carrier offices. (Destroy when superseded, obsolete or upon completion of contract.) N1-361-91-13

835.50 Contractor Assistance. Cost estimates, technical cost proposal analyses, trip reports, related correspondence and backup materials used to assist contractors and Government personnel in preservation, packaging, packing, and marking matters pertaining to contract items, Defense industrial production equipment, and other Government-owned property; to review, approve and ensure adequacy of contractor packing/materials handling functions, price and cost proposals, data, and design drawings. (Destroy after 3 years.) N1-361-91-13

835.60 Procedure A Contractor File. Letters of traffic management delegation, correspondence and information related to changes in traffic management regulations used to implement Procedure A traffic management procedures and evaluate contractor ability to perform those services. (Destroy when superseded, obsolete, or contractor no longer required to provide Procedure A services.) N1-361-91-13

835.70 Hazardous/Protected Material Transportation. Documents relating to contracts for packaging, marking, and transportation of hazardous, sensitive, or classified materials. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-91-13

836 TERMINATION SETTLEMENT. Relates to the settlement of contracts terminated for the convenience of the Government.

836.30 Termination Docket Files. Termination file check list, termination notice and related documents, contract termination status report, contract or cross-reference sheet, Termination Contracting Officer (TCO) delegations/revocations, memorandum of initial and other conferences, contractor no-cost letter, miscellaneous documents (correspondence), prime contractor's settlement proposal, partial payment applications and related documents, audit reports, technical reports, format-letter notification-excess funds, list and disposition of subcontractors' claims not included in settlement memorandum; documents supporting subcontract settlements, documents pertaining to counterclaims, set-offs, appeals, litigations, etc., subcontractor and contractor plant clearance reports, settlement memorandum, settlement review board actions, settlement agreement, amendment, or unilateral determination, and notice to and or concurrence of assignees, guarantor, and sureties accumulated as a result of contract terminations for the convenience of the Government. (Transfer to responsible ACO after case settled.) N1-361-91-13

836.60 Subcontract Settlements. Inventory schedules, DCAA audit, TCO approval letter, contract, amendments, termination notice, technical reports, copy of negotiation summary, settlement agreement, contract termination proposal and inventory schedule, inventory verification surveys, inventory disposal reports,

certificates of current cost and pricing data, and similar records related to Government approval of contractor settlements with subcontractors. (Transfer to responsible ACO after prime contract settled.) N1-361-91-13

PROGRAM AND TECHNICAL SUPPORT (PTS)

890 PROGRAM AND TECHNICAL SUPPORT (PTS). Relates to surveillance of contractor engineering and manufacturing systems and efforts, analysis of contractor generated engineering and technical proposals and reports, and Contract Administration Services support to Military Services and non-DoD program managers support for weapon systems and other critical Government acquisitions. This section does not apply to documentation appropriate for retention under FAR Subpart 4.8 - Contract Files.

890.01 Program and Technical Support Program/Project Files. Documents related to the formulation, management, administration and execution of individual Program and Technical Support programs such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-06

890.02 Program and Technical Support Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Program and Technical Support matters including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

890.02A HQ DLA. (Destroy after 2 years.) N1-361-91-06

890.02B Other activities. (Destroy after 1 year.) N1-361-91-06

890.15 Program Managed Contracts Memorandums of Agreement. Copies of negotiated Memorandums of Agreement with Program Management Offices (PMO), documents related to PMO technical representatives and Integrated Logistics Support activities. (Destroy when superseded, obsolete, or no longer needed.) N1-361-91-06

890.20 Cost/Schedule Control Systems. Cost/schedule control system reviews, subsequent application reviews, and retained copies of cost performance reports and cost/schedule status reports submitted to administrative contracting offices. (Destroy 1 year after program termination, or completion of contract.) N1-361-91-06

890.25 Industrial Modernization Incentive Program. Studies, designs, working agreements, contractual requirements, implementation documents, and related items on Government-contractor plant modernization. (Destroy on termination of facility cognizance.) N1-361-91-06

890.30 Situation Reports. Reports regarding urgent or emerging Defense issues related to programs at contractor plants. (Destroy after 1 year.) N1-361-91-06

890.35 Management Information Reports. Statistical reports and management summaries (e.g., Technical Management Database (TMD), Program Support Database (PROSUP), Mechanization of Contract Administration Services Database (MOCAS)). (Destroy after 2 years.) GRS 3, Item 4a

890.40 Program Managed Contracts Reports. Status reports on weapon systems and other priority program contracts. (Destroy after 3 years.) N1-361-91-06

890.45 Contractor System Surveillance. Reviews, evaluations, discrepancy documents, requests and related items concerning production, work measurement, design, software, configuration, test, performance, logistics support, and comparable system elements.

890.45A Routine surveillance. (Destroy when no longer needed.) N1-361-91-06

890.45B Discrepancy reports. (Destroy 10 years after adequate corrective action.) N1-361-91-06

890.55 Technical Evaluation of Cost Proposals. Reviews and evaluations of contractor proposals such as Value Engineering proposals, cost reduction proposals, and engineering change cost proposals.

890.55A Approved proposals. (Destroy 5 years after completion of contract.) N1-361-91-06

890.55B Rejected proposals. (Destroy 1 year after final action.) N1-361-91-06

890.60 Facilities Evaluations and Reviews. Evaluations of proposed changes in plant facilities and equipment including Government-furnished equipment and property. (Destroy after 5 years.) N1-361-91-06

890.65 Technical Studies and Analysis Support. Program and Technical Support elements' support to efforts such as cost estimating system surveys, should cost reviews, source selection information requests, tests and inspections, product reviews, independent research and development reviews, cost monitoring reviews, purchasing system reviews, progress payment evaluations and similar efforts evaluated for other contract management functions and activities. (Destroy after 2 years.) N1-361-91-06

SUPPLY

905 SUPPLY OPERATIONS. Relates to provision of supply support for materiel management of assigned items, stock control, and transportation and traffic management. Series for transportation and traffic management records found in 945.00 Distribution Transportation and Shipping series are appropriate for use within Directorates of Supply Operations.

905.01 Supply Operations Program/Project Files. Documents related to the formulation, management, administration and execution of individual Supply Operations programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-92-1

905.02 Supply Operations Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Supply Operations matters such as interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

905.02A HQ DLA. (Destroy after 2 years.) N1-361-92-1

905.02B Other activities. (Destroy after 1 year.) N1-361-92-1

910 LOGISTICS PROGRAMS. Relates to the implementation of policies and programs, review, analysis and development of systems, policies, and procedures for management of supply operation activities.

910.10 Foreign Military Sales (FMS) Functional System Changes. Messages, memoranda for record (MFRs), printouts of Standard Automated Materiel Management System (SAMMS) table of changes, and similar records relating to materiel issue status of FMS customers. (Destroy when no longer needed for reference.) N1-361-92-1

910.12 Stratification Summary Files. Copies of stratification worksheet forms, reforecast computations, financial management data, and related records used to manage requirements and assets. (Destroy after 3 years.) N1-361-92-1

910.14 Source Preference Tables. Listings, reports of program control tables, and similar records related to item issue determinations based on customer and storage location. (Destroy after 1 year or when superseded, whichever is sooner.) N1-361-92-1

910.16 Precious Metals Settlement Letters. Correspondence pertaining to precious metals delivery information from Defense Reutilization Marketing Service. (Destroy after 5 years.) N1-361-92-1

910.18 Precious Metals Transaction Ledger. Ledgers or similar documents used to post precious metals transactions (requisitions, deposits, and receipts) and to maintain an accurate balance of precious metals assets. (Destroy after 5 years.) N1-361-92-1

910.20 Precious Metals Receipts Ledger. Ledgers or similar documents used to log due-in precious metals shipments. (Destroy after 5 years.) N1-361-92-1

910.22 Precious Metals Transaction Packages. Original requisitions, debit or shipment documentation, correspondence, copies of credit memos, monthly history of metal transaction listings, memoranda for record, conversation records, and similar records. (Destroy after 5 years.) N1-361-92-1

910.24 Precious Metals Price Sheets. Ledger sheets, forms, or similar documents used to record and track current market value of precious metals. (Destroy after 3 years.) N1-361-92-1

910.26 Precious Metals Receipt Documentation. Monthly transaction sheets, credit invoices, and related records used to verify receipt of precious metals. (Destroy after 5 years.) N1-361-92-1

910.40 Weapons System File. Correspondence, national stock number (NSN) data, memoranda for record, status reports, technical data, analyses, and similar documents related to individual systems managed. (Destroy when obsolete or when system is deleted, whichever is sooner.) N1-361-92-1

910.42 Special Program Requirements. Monthly reports, correspondence, and similar records related to special requirements for managed systems. (Destroy after 2 years.) N1-361-92-1

910.44 Direct Buy Agreements. Correspondence, fax messages, conversation records, direct buy requests, drafts of direct buy agreements with Military Service and contractor comments, lists of points of contact, final agreement (memorandum of agreement), and related records. (Destroy after system is no longer in production or when agreement superseded or cancelled.) N1-361-92-1

910.50 Buy Evaluations. Copies of bids, lists of bidders and origin prices, worksheets, and related documentation used to evaluate transportation rates and make recommendations. (Destroy after 2 years.) N1-361-92-1

910.52 Vendor Misdirects. Correspondence, contractor replies, and supporting documentation pertaining to contractor misdirected shipments used to make recommendations concerning payment, nonpayment, or recovery of excess costs. (Destroy after 2 years.) N1-361-92-1

910.54 Customer Misdirects. Correspondence, disposition instructions, payment requests, conversation records, and supporting documentation relating to customer misdirected shipments. (Destroy when no longer needed for analysis.) N1-361-92-1

920 INVENTORY MANAGEMENT. Relates to the accomplishment of responsibilities for materiel management of assigned supply items.

920.10 Approved Recommended Buy Files. Automated Inventory Manager Support System (AIMS) electronic records documenting complete record of recommended procurements. Documents the review, approval, and re-computation (when necessary) processes of requirements forecasts used to recommend procurements to meet anticipated supply demands of the military services. (Destroy after 3 years or when no longer needed for reference or analysis, whichever is later.) N1-361-92-1

920.12 Item Files. Documents accumulated as a result of managing assigned items, includes standard supply control study forms, materiel requirements, item identification data, listings of items placed on backorder, reports of discrepancy, and other supporting documentation pertaining to the item managed. Series applicable to activities without access to AIMS system or similar system. (Destroy after 3 years or when no longer needed for reference or analysis, whichever is later.) N1-361-92-1

920.14 Due-In Study Files. Due-in study pages, messages, data transcript sheets, cancellation reports, and similar documents pertaining to the review of due in materiel identified as excess to anticipated requirements and used to initiate cancellation of contracts or procurement requests. (Destroy after 1 year.) N1-361-92-1

920.16 Supply Control Study Files. Supply control study - long supply forms, worksheets, transaction history file printouts, enhanced demand report listings, requests for technical assistance, inactive/deleted reports, and similar documents pertaining to reduction of excess, inactive, or deleted stocked materiel. (Destroy after 1 year.) N1-361-92-1

920.18 Customer Excess Files. Listings, standard supply control study forms, and similar documents used to approve customer returns for credit/ noncredit or to authorize disposal as excess. (Destroy after system reflects receipt of materiel or when no longer needed for analysis, whichever is later.) N1-361-92-1

920.20 Catalog Change Files. Data exchange and/or proposed revision of catalog data forms, correspondence, and similar records relating to cancellation of NSNs. (Destroy after 2 years.) N1-361-92-1

920.22 Military Interdepartmental Purchase Request (MIPR) Package Files. Worksheets, copies of MIPRs, purchase request trailer listings, messages, and similar documents relating to commitment of funds for procurement purposes. (Destroy after 3 years.) N1-361-92-1

920.24 MIPR Contract Files. Copies of awarded contracts, modifications, order for supplies or services forms, and similar materials used to research discrepancies. (Destroy after 3 years.) N1-361-92-1

930 STOCK CONTROL. Relates to the accomplishment of responsibilities for stock control and accountability of assigned items.

930.05 Customer Assistance Program Files. Copies of reports of visit, customer assistance information data sheets (CAIDs), correspondence, significant action/event reports (SAERs), recommendations, and related background materials accumulated as a result of visits to customer activities to assist in materiel management related problem identification and resolution. (Destroy after 3 years.) NN-168-94

930.10 Telephonic Requisitions. Copies of exception requisition document data input forms used to process telephonically received requisitions with remarks off-line. (Destroy after 6 months.) N1-361-92-1

930.12 Requisition Register. Logs, registers, and similar devices used to maintain records of incoming requisition requests and for information concerning status and stock availability. (Destroy after 1 year.) N1-361-92-1

930.14 Inventory Adjustments. Copies of inventory adjustment vouchers, worksheets, summary sheets, physical inventory adjustment voucher listings, inventory adjustment voucher list (miscellaneous and materiel release order (MRO) denials), inventory adjustments - mandatory research listings, transaction history file printouts, letters of investigation, reports of survey, and supporting data pertaining to accountability of assigned items. (Destroy after 2 years.) N1-361-92-1

930.16 01 Requisitions. Copies of requisition status files, exception requisition document data input forms, requests for substitute search, documentation of lateral support efforts, and related documents accumulated as a result of processing priority 01 requisitions. (Destroy after requisition is closed or satisfied.) N1-361-92-1

930.18 Direct Buy Program. Copies of direct buy call-in requests, requisition number status printouts, and related documents pertaining to purchase of materiel directly from original equipment manufacturer. (Destroy after requisition satisfied.) N1-361-92-1

930.20 Intensive Management Files. High priority backorder/delayed items listings, customer supply assistance requests (messages, fax, etc.),

documentation of actions taken, and related backup material. (Destroy when no longer needed.) N1-361-92-1

930.22 Requisitions, Other. Copies of priority 2 through 15 materiel requisitions received via mail or message, F 252 listings, passing order messages, and similar documents.

930.22A Non-remarks requisition. (Destroy 1 week after requisition obtains status.) N1-361-92-1

930.22B Remarks requisition. (Destroy 45 days after SAMMS updating actions completed.) N1-361-92-1

930.24 Supply Terminations. Messages, cards, memos, and similar documents used to initiate termination of supply actions due to requisition cancellations. (Destroy after 1 year.) N1-361-92-1

930.26 MRO Reversals. Messages, corrected materiel release confirmation cards, and DoD single line item requisition system document (mechanical) forms used to correct SAMMS records to maintain accurate balances between Depot and Center records. (Destroy after reversal posted in SAMMS.) N1-361-92-1

930.28 Reinstatement Requests. Correspondence, messages, exception requisition document data input forms, and related records pertaining to adjustment of erroneous status codes. (Destroy after 1 year.) N1-361-92-1

930.30 Customer Discrepancies. Copies of customer complaint messages, reports of item discrepancy, and similar records used by customers to report materiel shipment discrepancies. Includes correspondence, printouts of requisition history files used to research complaint validity, printouts of SAMMS files reflecting credit actions, when applicable, and related documentation. (Destroy after 2 years.) N1-361-92-1

930.32 Foreign Military Sales (FMS) Discrepancies. Correspondence, tracer actions, proofs of shipment, printouts of SAMMS files reflecting credit actions (when applicable), and related documentation pertaining to FMS shipment discrepancies. (Destroy after 3 years.) N1-361-92-1

930.34 Requisition History Files. Microfiche records of closed requisitions used to research customer complaints. (Destroy when no longer needed for reference.) N1-361-92-1

930.36 Activity Address Directory Files. Copies of messages containing corrections to addresses of individual countries used to initiate corrections (deletion, additions, and suspensions) to automated activity address directory files. (Destroy when no longer needed for reference.) N1-361-92-1

930.38 Depot Balance and Transaction Register (DBTR) Files. Copies of depot balance and/or transaction discrepancy forms, corrected balance printouts, and related records used to adjust depot materiel storage balances. (Destroy after 1 year.) N1-361-92-1

DISTRIBUTION

940 DISTRIBUTION. Relates to operations involving the receipt, storage, care and preservation, packing, and shipment of assigned items by the storage activity including depot transportation services. Activities assigned Direct Commissary Support System (DICOMSS) responsibilities will use applicable file series found in the 940.00 series.

940.01 Distribution Program/Project Files. Documents related to the formulation, management, administration and execution of individual Distribution programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-10

940.02 Distribution Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Distribution matters such as interpretations and decisions on applicability,

requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

940.02A HQ DLA. (Destroy after 2 years.) N1-361-91-10

940.02B Other activities. (Destroy after 1 year.) N1-361-91-10

940.05 Foreign Military Sales (FMS) Transportation Case Files. Case files which contain all records required to monitor and process the delivery of material and services to FMS customers, from receipt to closing of the case. Includes Government Bills of Lading (GBL), Commercial Bills of Lading (CBL), Notices of Availability (NOA), Transportation Control Movement Documents (TCMD), Issue Release/Receipt Documents (IRRD), inspection and receiving reports, air bills, supply transactions, transfer to carrier documents, acceptance data and all similarly related materials used to effect transfer of FMS shipments to carriers. NOTE: For convenience of search and retrieval, these files should be maintained in document number sequence. (Cut off at end of Fiscal Year, maintain in current file area for 2 years, then retire to Federal Records Center. Destroy when 30 years old.) N1-361-95-1

941 DISTRIBUTION MANAGEMENT. Relates to the physical inventories of stocks, administration of distribution training programs, support of the coordination of development and implementation of distribution policies and programs, workload planning, control, and prioritizing, and depot packaging management.

941.10 Inventory Schedule Files. Reports, listings, and similar workload planning documentation used to schedule inventories of stocks. (Destroy after 3 years.) N1-361-91-10

941.15 Inventory Monitoring. Forms, listings (cancellation, count discrepancy, delinquent count, classification suspense, location/storage discrepancy), inventory forecasts, count cards, analyses, and related physical inventory records used during the inventory process. (Destroy after 1 year or when no longer needed, whichever is sooner.) N1-361-91-10

941.20 Completed Inventory Evaluation. Analysis reports, inventory count histories, listings, and related backup materials used to input inventory data, evaluate count information, and to release completed inventories. (Destroy after 1 year.) N1-361-91-10

941.25 Balance/Transaction Coding. Coding sheets and related papers used to document entries of transaction adjustments. (Destroy after 30 days or after records are adjusted.) N1-361-91-10

941.30 Balance/Transaction Register Reconciliations. Reports, printouts, forms, messages, correspondence, inquiry documents (locator inquiries, center balances, materiel release order (MRO) histories, quality control reports, reports of discrepancy), violation listings, and related backup materials summarizing the reconciliation of unmatched balances/transactions used to recap adjustments made to accountable records. (Destroy after 1 year or when no longer needed, whichever is sooner.) N1-361-91-10

941.35 Inventory Investigative Research Files. Correspondence, checklists, printouts, listings, reports, and similar records relating to the research of major stock discrepancies identified as a result of inventories, denials, and lost receipts. Includes documentation recording results of research such as letters, Government property lost or damaged (GPLD) certificates, and reports of survey. (Destroy after 3 years.) N1-361-91-10

941.40 Inventory Control Effectiveness Files. Correspondence, reports, listings, and backup materials used to summarize inventory results/ effectiveness. (Destroy after 2 years.) N1-361-91-10

941.45 Location Changes. Cards and related item locator information used to add or delete stock locations. (Destroy after 6 months.) N1-361-91-10

941.50 Location Surveys. Forms, reports, analyses, cards, and related documentation used to initiate, close, cancel, or document accomplishment of location surveys. (Destroy after 1 year or when no longer needed.) N1-361-91-10

941.55 Inventory History. Copies of balance and transaction files documenting monthly transactions used to research and reconcile losses and gains. (Destroy after 2 years.) N1-361-91-10

941.60 Workload Planning Files. Reports, listings, and similar records used to control and plan daily materiel release order workload. (Destroy after 1 month.) N1-361-91-10

941.65 Workload Statistical Files. Listings, reports, and similar records relating to workload statistics, such as lines shipped and man-hours. (Destroy after 2 years.) N1-361-91-10

943 RECEIVING. Relates to the receipt, inspection, classification, and routing to storage, incoming parcel posts, less-than-load lots, mixed inbound shipments, and supply documentation for receipts. Includes administration of programs for the accomplishment of stock readiness including surveillance inspections, care of materiel in storage, repair, and stock maintenance.

943.10 Non-procurement Receipt Documentation. Copies of receipt documents accumulated from non-procurement sources such as item release/receipt documents used to return previously issued materiel to depot storage including supporting documentation.

943.10A Automatic disposal action records. (Destroy after 2 years.) N1-361-91-10

943.10B Other records. (Destroy 3 months after receipt of final shipment.) N1-361-91-10

943.11 Procurement Receipt Documentation. Copies of receipt documents accumulated from procurement sources such as contracts, amendments, modifications, and similar receipt supporting documentation and used to identify incoming materiel and inspect for contract compliance (preservation/packaging/packing/markings), condition, and damage. Note: Do not microfilm. (Destroy 3 months after receipt of final shipments.) N1-361-91-10

943.12 Acceptance Receipt Documentation. Material inspection and receiving reports, orders for supplies or services/requests for quotation, and comparable documents which serve as proof of acceptance and support an acceptance report (DIC PK_) or D4_. These records (hard copy or microfilm) will be maintained separately from receipt documentation described in 943.11 series and filed by date of acceptance by calendar year. (Destroy 6 years and 3 months after cutoff.) N1-361-91-10

943.15 Receiving Inspection. Damage reports, supporting documents, correspondence, and similar records relating to non-transportation related damaged/discrepant incoming shipments. (Destroy after 2 years.) N1-361-91-10

943.20 Active Listing Files. Listings, reports, and related records used to confirm data input of reports of discrepancy posted to Center records. (Destroy after input actions verified.) N1-361-91-10

943.25 Deleted Suspense Record Files. Listings, reports, and related records used to verify data input of inspections verification changes/ corrections. (Destroy after 1 year.) N1-361-91-10

943.30 Receipt Not Confirmed Files. Listings, reports, and related records pertaining to materiel received but not assigned storage location. (Destroy after receipts confirmed.) N1-361-91-10

943.35 Storage Item Changes. Printouts, reports and listings concerning missing data, incomplete item locations, validation rejects, errors, reconciliations, item analyses, exceptions, and similar data relating to storage item change actions. (Destroy after 2 months.) N1-361-91-10

943.40 Receiving Adjustment Records. Suspense listings used to monitor condition code adjustments of stored materiel not ready for issue. (Destroy after computer updating actions verified.) N1-361-91-10

943.45 Receiving Workload Reports. Listings containing daily production count used to monitor man-hours and productivity. (Destroy after 90 days.) N1-361-91-10

943.50 Materiel Preparation Records. Forms and similar documents used to record costs to package, pack, containerize, and unitize materiel received prior to storage. (Destroy after 1 year.) N1-361-91-10

944 STOCK MAINTENANCE. Relates to the repair and rebuild of mission stocks and the assembly of items, kits, and sets.

944.10 Project/Job Orders. Project order forms and amendments, job orders, material order forms, incoming/outgoing stock documentation, picking tickets, preliminary inspection forms, rate sheets, service control forms, and related records used to document and control a job/project from point of acceptance to completion. (Destroy after 2 years.) N1-361-91-10

944.15 Stock Inspections. Forms and related materials requesting tests and/or reporting results of tests on electronic stock items. (Destroy after 2 years.) N1-361-91-10

944.20 Assemblies. Forms, checklists and related materials used to assure quality control and maintain status of multiple container shipments in the assembly/disassembly, packing and crating of facilities, items, kits, sets or repaired stock and the upgrading of preservation, marking, and packaging of material for assemblies and kits. (Destroy after 2 years.) N1-361-91-10

945 TRANSPORTATION AND SHIPPING. Relates to providing transportation services including shipment planning, freight handling, load compliance requirements, carrier equipment arrangements, terminal operations, and related activities required to process shipping orders worldwide.

945.10 Bills of Lading Files. Copies of inbound and outbound Government Bills of Lading (GBLs) and Commercial Bills of Lading (CBLs); correction notices; certificates used in lieu of GBLs; route slips, packing lists; rail bills; and related documentation used to process shipments. (Destroy after 6 years.) GRS 9, Item 1c

945.15 GBL Suspense Files. Advance copies of incoming shipments used to match receipts with actual shipment. (Destroy after shipment received.) N1-361-91-10

945.20 Outbound Bill of Lading Logs. Logs, registers, listings, or similar systems used to maintain accountability for all GBL numbers assigned. (Destroy after 3 years.) N1-361-91-10

945.25 Discrepancy Reports. Copies of reports, forms or similar records used to document transportation shipment problems such as damaged material, over or short shipments, astray shipments, and carrier non-performance of service, correspondence, and related papers which are used to initiate claims against carriers. (Destroy after 3 years.) N1-361-91-10

945.30 Shipping Reports. Automated reports used to analyze traffic management matters. Includes reports on mode of shipment, commodity priority and mode, destination and commodity, category origin, point of embarkation traffic, and similar reports. (Destroy after 3 years.) N1-361-91-10

945.35 Freight Classification Files. Reports, listing, and similar documents providing freight classifications, rates, and related transportation/shipping data for managed/stocked NSNs used for shipment planning purposes. (Destroy when superseded, obsolete, or no longer needed for reference.) N1-361-91-10

945.40 Military Standard Logistics System Files. Intransit data cards, reports of shipment, and other standardized shipment documentation used to process materiel movement and to evaluate transportation performance. (Destroy after 4 months or when quarterly update is completed, whichever is sooner.) N1-361-91-10

945.45 Transportation Movement Files. Copies of transportation control movement documents, consists, and related papers concerning export loads.

945.45A FMS shipments. (Destroy 2 years after final shipment.) N1-361-91-10

945.45B Other shipments. (Destroy 1 year after final shipment.) N1-361-91-10

945.50 Export Bookings. Logs, registers, or similar documents used to record export booking requests, routings, and confirmations. (Destroy after 1 year.) N1-361-91-10

945.55 Shipment Billing Logs. Logs, registers, or similar documents for recording shipment billing details used for reporting statistics and research. (Destroy after 1 year.) N1-361-91-10

945.60 Carrier Release Files. Documents used to order, release, and dispatch carrier's equipment. (Destroy after 3 years.) N1-361-91-10

945.65 Carrier Control Files. Logs, registers, appointment books, inspections books, and similar documents used to schedule delivery appointments, track arrivals, departures, internal movements, status, and inspection requirements of truck and rail cars. (Destroy after 3 years.) N1-361-91-10

945.70 Security Seal Logs. Logs, registers, or similar system used to maintain accountability for numbered seals applied to departing carriers. (Destroy after 1 year.) N1-361-91-10

946 WAREHOUSING. Relates to the physical receipt, storage, and packing of assigned materiel (includes semi-perishable brand name overseas commissary resale items); the maintenance of an accurate stock locator system; the selection and preparation of materiel to be shipped; and the provision of required services to support operational requirements.

946.11 Scheduling Files. Appointment schedules, logs, late extension sheets, listings, and related records used to coordinate and control inbound truck and railcar traffic. (Destroy after 1 year.) N1-361-91-10

946.13 Materiel Receipt Verification. Copies of material inspection and receiving reports used to verify material received on direct unloads of trucks and railcars. (Destroy 3 months after final shipment.) N1-361-91-10

946.16 Materiel Movement Files. Internal documents and forms relating to material movement used to identify materials being received, stowed or changing storage location. (Destroy after computer updating actions verified.) N1-361-91-10

946.19 Packing Quality. Quality report check sheets and related forms used to assure quality of the various packing functions. (Destroy after 1 month.) N1-361-91-10

946.22 Materiel Release Files. Issue release/receipt documents relating to processing (select, prepare, ship) stored materiel for release. (Destroy after 1 year.) N1-361-91-10

946.23 Materiel Release Control. Control registers, recap sheets, release workload, offered late sheets, backlogs, and similar listings used to monitor issue processing. (Destroy after 1 year.) N1-361-91-10

946.26 Warehouse Denials. Material movement documents, denial/shortage investigation checklists, adjustment/document control registers and related documentation used to monitor and track warehouse denials. (Destroy after 1 year.) N1-361-91-10

946.29 Destination Listings. Listings identifying material release order destinations used to research all requisitions shipped against a specific cycle. (Destroy after 6 months.) N1-361-91-10

946.32 Workload Monitoring. Listings containing weekly and monthly production count reports used to monitor, control, and verify workload, work hours, and productivity. (Destroy weekly listings after 3 months, monthly listings after 1 year.) N1-361-91-10

946.35 Container Shipping Schedule. Listings, reports, and similar documents relating to workload forecasts for upcoming DICOMSS cycle used for planning purposes. (Destroy after 1 year.) N1-361-91-10

946.38 Shipment Monitoring. Status inquiries, line item materiel release status inquiries, shipping unit/line item inquiries, and related listings used to monitor delivery and shipment records. (Destroy after 1 month.) N1-361-91-10

946.41 Work Orders. Work orders, work order registers, forms, and cost records used to document work to be accomplished. (Destroy when no longer needed.) N1-361-91-10

946.44 Shipping Manifests. Manifests of small parcels shipped; used to verify charges and trace shipments.

946.44A FMS shipments. (Destroy 2 years after final shipment.) N1-361-91-10

946.44B Other shipments. (Destroy 1 year after final shipment.) N1-361-91-10

946.47 Cigarette Shipping Files. Copies of materiel release documents, consists, completed contracts, and related records pertaining to overseas shipments of cigarettes used to research discrepancies. (Destroy after 2 years.) N1-361-91-10

946.50 Controlled Item Files. Cards, inventory control sheets, logs, materiel release documents, contract copies, and similar records pertaining to controlled items. (Destroy after 2 years.) N1-361-91-10

946.53 Inventory Monitoring. Listings, reports, and similar records relating to documenting inventory results. (Destroy after next completed inventory.) N1-361-91-10

946.56 Subsistence Disposition. Documents accumulated as a result of disposing of subsistence items not appropriate for overseas shipment. Items include serviceable items issued to local commissaries for sale, return of "L" (suspended for litigation) condition stock to vendors, and unserviceable items sent to Defense Reutilization and Marketing Office. (Destroy after 1 year.) N1-361-91-10

946.59 Damaged Stock Files. Forms or similar documents used to record destruction and/or re-coupment of damaged stocks. (Destroy after 3 years.) N1-361-91-10

946.62 Building Security Logs. Logs used to record personnel entries into vault to maintain tax-free products warehouse security. (Destroy after 1 year.) N1-361-91-10

946.65 Building Access Lists. List of personnel with access privileges to secure areas. (Destroy when replaced with updated copy.) N1-361-91-10

946.68 Inspection, Testing, Results and Disposition. Request for and results of tests, reclassification (downgrading/upgrading) records such as DAC transactions, related storage quality control reports, records documenting materiel condition code changes, and similar documents (or automated equivalents) relating to inspection and testing of Type II extendible shelf life items. (Destroy after next inspection, or 2 years, whichever is sooner.) N1-361-91-10

946.71 Space Utilization. Space assignment summary forms, configuration and occupancy worksheets, space reports, and similar records used to determine and assign space requirements and configurations. (Destroy after 3 years.) N1-361-91-10

946.74 Bin Replenishment. Listings and reports pertaining to replenishment of materiel in bin locations. (Destroy after 1 year.) N1-361-91-10

946.77 Hazardous Material Stock Location. Listings, forms, and similar records used to identify current location of hazardous material stock items. (Destroy after 3 years.) N1-361-91-10

946.80 Radioactive Material Disposal. Documents maintained by radiation protection officers on the disposal of radioactive items stored within Defense depots. (Destroy after 75 years, or after Nuclear Regulatory Commission (NRC) clearance, whichever is later.) N1-361-91-10

946.83 Radiation Monitoring and Exposure. Surveys, reports, and related documents used to detect, monitor, and record radiation levels and individual exposure which are:

946.83A Used to determine compliance with NRC regulations on restricted areas, to measure external radiation when personnel monitoring is not performed, and to evaluate the release of radioactive effluents to the environment. (Destroy after 75 years, or after NRC clearance, whichever is later.) N1-361-91-10

946.83B Other than those described above. (Destroy after 2 years.) N1-361-91-10
946.86 Radioactive Material Incident Reporting. Retained copies of required reports to NRC on losses or thefts of licensed material and individual exposures, radiation releases, property damage, and comparable incidents. (Destroy after 75 years, or after NRC clearance, whichever is later.) N1-361-91-10

INDUSTRIAL PLANT EQUIPMENT (IPE)

950 INDUSTRIAL PLANT EQUIPMENT (IPE). Relates to operations involving the receipt, storage, care, maintenance, inspection/testing, calibration, repair/rebuild, modification and shipping of IPE.

950.01 IPE Operations Program/Project Files. Documents related to the formulation, management, administration and execution of individual IPE programs/projects such as plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-91-19

950.02 IPE Operations Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of IPE operations including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

950.02A HQ DLA. (Destroy after 2 years.) N1-361-91-19

950.02B Other activities. (Destroy after 1 year.) N1-361-91-19

950.10 Defense General Reserve - School Loan Program. Records pertaining to the operation and termination of the National Industrial Equipment Reserve (NIER) and the development and operation of the School Loan Program within the DoD under Public Law 93-155. (Permanent. Transfer to National Archives in 5-year blocks when 30 years old.) NC1-361-76-13

950.11 Loan Agreements. Documents maintained by Defense Industrial Plant Equipment Center (DIPEC) relating to the loan of IPE to vocational schools. Included are school applications for loan of tools, offer of item, executed copy of loan agreement (original) with supporting documents, and similar and related documents. (Destroy 3 years after termination and satisfactory settlement of loan agreement terms.) NC1-361-82-5

950.15 Contractor Storage of Industrial Equipment. Files relating to storage of Government-owned equipment in contractor's plant under layaway contracts. (Destroy after 10 years.) NN-168-94

950.20 Industrial Plant Equipment Historical Case Files. Documents maintained by DIPEC relating to individual items of IPE recorded in the central inventory of DoD IPE assets. (Destroy 2 years after item has been dropped from the central inventory records of DIPEC, i.e., the item has been disposed of or transferred (not loaned) outside DoD or the item has been released from central inventory control.) N1-361-91-19

950.30 IPE Maintenance, Repair, and Modifications. Maintenance requests, correspondence, IPE maintenance records, IPE repair information, production control records, planning and estimating documents, copies of purchase requests and contracts, quality assurance documents such as requests for waivers, quality deficiency reports, tally sheets for PCB sampling, and similar records pertaining to maintenance, repair, and modification of IPE. (Destroy after 2 years.) N1-361-91-19

950.31 IPE Rigging Crew Labor. Work requests, assignments, schedules, and similar records relating to the assignment and utilization of the rigging crew for IPE operations. (Destroy after 2 years.) N1-361-91-19

950.32 IPE Reports. Workload reports forecasting upcoming IPE requirements and workload status reports relating status of equipment. (Destroy after 2 years.) N1-361-91-19

950.33 Aluminum Skid Inventory Files. Records relating to maintaining inventory of aluminum skids for preparing IPE for shipment. (Destroy after 2 years.) N1-361-91-19

DEFENSE NATIONAL STOCKPILE

960 STORAGE FACILITY PROGRAM RECORDS. Relates to documentation, maintenance, and disposition instructions for documenting operations conducted at storage facilities. These operations deal with unloading, checking, recording, or otherwise receiving; storing; maintaining; protecting; moving; shipping; and accounting for Defense National Stockpile Center (DNSC) materials.

960.01 Stockpile Program/Project Files. Documents related to the formulation, management, administration and execution of individual Stockpile programs/projects such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program efforts, or when no longer required, whichever is sooner.) N1-361-92-5

960.02 Stockpile Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Stockpile matters such as interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere.

960.02A HQ DLA. (Destroy after 2 years.) N1-361-92-5

960.02B Other activities. (Destroy after 1 year.) N1-361-92-5

960.10 Storage Facility Entry Controls. Documents accumulated in arranging for visits, admitting train crews, installing double switch locks, issuing decals or entry permits, and otherwise controlling admission to storage facilities. Included are visit logs and registers, visit notifications, decal and permit issue records, similar controls, and related records.

960.10A Entry permits and control. (Destroy on turn-in or expiration of the decal or permit.) N1-361-89-2

960.10B Visit logs and registers. (Destroy 1 year after sheet or book is filled.) N1-361-89-2

960.10C Other records. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

960.11 Storage Facility Work Schedules. Documents created in scheduling inspections, maintenance, stock servicing, re-warehousing, work schedules, and related records. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

960.12 Storage Facility Inspection Files. Inspection reports and related records on the condition and security of facilities, grounds, and warehouse sections, including facilities for the storage of DNSC, but not inspection reports on commodities which are included in the DNSC inspection files. (Cutoff annually, destroy when 2 years old.) N1-361-89-2

960.13 Storage Facility Project Records. Documents relating to qualitative maintenance projects which are not appropriate for inclusion in the related depot contract file. Included are status of project reports, visit reports, and related records. (Cutoff annually following completion of the project, destroy when 3 years old.) N1-361-89-2

960.14 Storage Facility Transportation Records. Documents accumulated in issuing Government Bills of Lading (GBL) and arranging transportation for outbound shipments. Included are requests for traffic data; issuing office copies of GBL's, including commercial bills of lading converted to GBL's; transit certificates; documents pertinent to freight classification; and related records. (Cutoff annually, destroy when 4 years old.) N1-361-89-2

960.15 Commercial Bills of Lading. These records are limited to commercial bills of lading where shipment charges were not paid by the Federal Government and which were not required for filing in the voucher or other records. Note: Commercial bills of lading converted to GBL's will be filed with the GBL in

960.14, Storage Facility Transportation Records. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

960.16 Demurrage Records. Documents created in recording arrival, unloading, and departure time of cars, and in certifying carrier demurrage bills. Included are car record forms, copies of carrier bills, and related records. (Cutoff annually, destroy when 4 years old.) N1-361-89-2

960.17 GBL Issuing Officer Designations. Documents relating to the designation of storage facility employees as GBL issuing officers. (Cutoff annually following cancellation, destroy when 4 years old.) N1-361-89-2

960.20 Unusual Occurrence Reports. Documents accumulated in reporting information on unusual occurrences (actual or potential) to higher echelons. Included are telegraphic and narrative reports of damages to stocks and facilities resulting from fires or other causes; reports of thefts; reports of hazards adjacent to, but outside of, the storage facility; reports of unauthorized visits; reports of requests for information from individuals not authorized to receive such information; similar reports; and directly related records. (Cutoff annually, destroy when 2 years old.) N1-361-89-2

960.30 Protection Agreements. Documents created in preparing, negotiating, and clearing agreements with local protection and fire fighting services to provide mutual or other assistance in case of fire or disaster. (Destroy 2 years after cancellation, expiration, or obsolescence of the agreement.) N1-361-89-2

960.40 Depot Activity and Operation Reports. Documents created in reporting depot activities and operations such as workload, accomplishments, receipts, problem areas, and similar matters. Included are reports and related records. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

960.41 Depot Contract Records. Documents accumulated in administering contracts (normally awarded by higher echelons) for projects dealing with the receipt, storage, re-warehousing, and shipment of materials, supplies, and equipment; rehabilitation or repair of buildings, grounds, and storage containers; or similar things. Included are copies of contracts, related correspondence, copies of contractor invoices and time and attendance reports, and similar records. (Place in inactive file on completion of the contract by delivery and acceptance of all material, property, or services, or final payment whichever is later, cutoff the inactive file at the end of the year, hold 2 years, and retire to FRC. Destroy when 6 years old.) N1-361-89-2

960.50 Space and Tonnage Reports. Documents created in reporting statistical receipts, re-warehousing, shipments, and balances on-hand. Included are reports and related records. (Cutoff annually, destroy when 4 years old.) N1-361-89-2

960.51 Tonnage Registers. Registers used to record information on tonnage of receipts and shipments for preparation of space and tonnage reports. (Destroy when register sheet or book is filled and the latest data therein has been used for the space and tonnage report.) N1-361-89-2

960.52 Due-in Files. Files, normally consisting of advance copies of shipping instructions, purchase orders, or other documents, which are used by storage facilities for workload and space utilization planning purposes. (Withdraw individual documents and place them in inactive file on receipt of shipment or when the document has served its intended purpose. Cutoff the inactive file in 3-month blocks, destroy when 6 months old.) N1-361-89-2

960.60 Man-hour Distribution Reports. Documents created in reporting the distribution of storage facility man-hours. Included are reports and related records. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

960.70 Equipment Jacket Files. Case files created to maintain data on the acquisition, operation, servicing, maintenance, and repair of individual items of storage facility equipment, particularly materials handling equipment. Included are acquisition documents and change of status reports; utilization and cost logs, job repair orders, purchase orders, and invoices; utilization service and repair cost summaries; maintenance checklists; battery test and change

records; inspection records; and related records. (Transfer with the equipment. Place in inactive file on final disposal of the equipment. Cutoff the inactive file annually, destroy when 2 years old.) N1-361-89-2

960.71 Equipment Maintenance Logs. Log forms normally attached to equipment, including installed equipment, except motor vehicles, to record operation, inspection, and maintenance. (Transfer with the equipment. Destroy on disposal, cannibalization, or abandonment of the equipment.) N1-361-89-2

960.72 Voucher Copies. Extra copies of receiving reports, tally sheets, outbound storage reports, and similar documents retained by shipping, receiving, and other sections of the storage facility. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

960.73 Inventory Records. Copies of physical or other inventory reports that are filed separately from vouchers or comparable records. (Cutoff annually following the next comparable inventory, destroy when 2 years old.) N1-361-89-2

960.80 Radioactive Material Licenses. Documents relating to licenses (issued by the Nuclear Regulatory Commission) to obtain and handle sources of ionizing radiation. Included are applications, licenses, amendments, and related records. (Place in inactive file following cancellation or final expiration of the license, destroy when 2 years old.) N1-361-89-2

960.81 Radiation Exposure Evaluation Files. Documents created in forwarding dosimetry film badges for evaluation and return of "readings." Included are transmittal letters, reports of film badge readings, and related records. (Cutoff annually, destroy when 1 year old, provided "readings" are entered in the radiation exposure record.) N1-361-89-2

960.82 Radiation Exposure Records. Documents used to record and maintain a record of the individual employees exposure to ionizing radiation, the locations of the radiation, and the sources involved. Included are dose records, exposure log books, and related records.

960.82A Log books. (Retain until book is filled and all individuals for whom exposures are recorded therein are no longer employed at the storage facility, then retire to FRC. Destroy when 30 years old.) N1-361-89-2

960.82B Individual records. (Withdraw on transfer or separation of the individual concerned and file records in official personnel folders.) N1-361-89-2

960.83 Radiation Survey and Analysis Files. Documents created in performing health physics inspections to ensure that protective procedures and practices are followed in handling sources of ionizing radiation. These records include documents created in detecting and recording levels of radiation in materials, objects, and the environment of areas where sources of ionizing radiation are handled or stored. Included are inspection or survey reports, radiological and chemical analysis reports, leak test reports, logs, and related records.

960.83A Logs. (Destroy 3 years after date of last entry on sheet or book.) N1-361-89-2

960.83B Other records. (Cutoff annually, destroy when 3 years old.) N1-361-89-2

960.90 Stock Locator Files. Documents used to show the location and identity of equipment, supplies, and material in open and closed storage. Included are stock location cards, stock identification cards, change notices, and related records. (Destroy locator document when superseded or obsolete, except that change notices will be destroyed after the change is made on the locator.) N1-361-89-2

960.91 Storage Layout Plats and Plans. Layout plats, plans, and charts prepared and used to ensure maximum utilization of space and to complement stock locator systems. (Destroy the plat, plan, or chart, when superseded or obsolete.) N1-361-89-2

960.92 Stock Location Audits. Reports and related records pertaining to periodic audits made to ensure that locator files are in agreement with stock locations. (Destroy on correction of deficiency in the locator file or after 30 days if no deficiencies are involved.) N1-361-89-2

960.93 DNSC Stock Account Records. Descriptions of and disposition instructions for these records are as follows:

960.93A DNSC Vouchers. Storage facility copies of records documenting the receipt, storage, and shipment of, and accountability for DNSC materials. Included are shipping instructions and notices; receiving reports, over, short, and/or damage reports; memorandum copies of bills of lading, but not issuing office copies; analysis reports; delivery orders; sales releases; shipment orders; stock adjustment reports; reports of survey, and property write-offs; and related records not described elsewhere in 960.93.

960.93A(1) Receiving reports and related documentation. (Destroy 3 years after all stored material of like kind and grade have been shipped out.) N1-361-89-2

960.93A(2) Other records. (Destroy 3 years after all stored material of like kind and grade have been shipped out.) N1-361-89-2

960.93B Commodity Inspection Records. Notification of stockpile inspection reports, and related records reflecting the condition and security of stored commodities, including the adequacy of the storage facilities. (Cutoff annually, destroy when 3 years old.) N1-361-89-2

960.93C DNSC Voucher Registers. Registers reflecting the assignment of voucher numbers to documents crediting or debiting the DNSC material inventory. (Destroy 3 years after date of last entry on register.) N1-361-89-2

960.93D Stock Record Cards. Inventory record cards reflecting receipt, shipment, and balances of DNSC material by program, commodity, grade, type, and country or origin. (Place in inactive file when balances on cards are reduced to zero. Destroy 2 years after all stored material of like kind and grade has been shipped out.) N1-361-89-2

960.94 Stock Record Cards. Stock record cards (for stocks other than DNSC material) or comparable basic documents, recording by item, the receipt, shipment, and disposal of property; balances on hand; dollar values; and other data. (Withdraw and place in inactive file when record is filled and balances are brought forward to a new record, or when final entry is made on the card. Cutoff the inactive file at the end of the year, destroy when 3 years old.) N1-361-89-2

960.95 Stock Record Voucher Records. Documents accumulated at depots to show and support additions to, or decreases in, stock record accounts for stocks other than DNSC materials. Included are receiving reports; tally-in sheets; inspection reports; stock adjustments; copies of reports of survey or property write-offs; radiological instrument repair records; reports of physical inventories; stock status reports; loan agreements; copies of bills of lading and over, short, and/or damage reports; requisitions and shipping documents; disposition instructions for unserviceable property; other supporting records; and related correspondence. (Cutoff annually, destroy when 3 years old.) N1-361-89-2

960.96 Voucher Registers. Registers used to record the assignment of numbers to, and other information about, documents (vouchers) crediting or debiting other and DNSC materials. (Cutoff annually, destroy when 3 years old.) N1-361-89-2

960.97 Voucher Block Number Assignments. Documents reflecting the assignment of blocks of voucher numbers to storage facilities. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

970 DEFENSE MATERIALS AND EQUIPMENT. Relates to documentation, maintenance, and disposition instructions for program records pertaining to planning, marketing and technical research, and associated services for the acquisition, beneficiation, upgrading, rotation, and disposal of National Defense Stockpile materials. The term "National Defense Stockpile material," refers to all of the various materials in the stockpile.

970.01 Stockpile Goal Actions. Documents relating to the coordination and issue of Stockpile Goal Actions to increase or otherwise change the quantity or composition of commodities in the stockpile. Included are documents reflecting

the participation on the Interdepartmental Advisory Committee, task force studies, copies of the Stockpile Goal Actions, clearance documents, and related records. (Cutoff annually, hold 5 years, and retire to FRC. Destroy when 10 years old.) N1-361-89-2

970.02 Stockpile Procurement Directives. Documents accumulated as a result of participating in the development and review of directives for procuring and upgrading of material needed to meet established objectives. (Destroy on disposal of the stockpile.) N1-361-89-2

970.10 Barter Transaction Comments. Documents accumulated in reviewing communications with the Federal Emergency Management Agency (FEMA) for the purpose of approving or providing detailed instructions on specifications, marking, and packaging for specific barter transactions. (Cutoff annually, and destroy on disposal of the stockpile.) N1-361-89-2

970.11 Barter Offers Research Reviews. Documents accumulated in reviewing and analyzing barter offers for the purpose of developing and providing pricing and other data or to reply to specific points. Included are barter offers, pricing studies, and advisory memorandums on storage, handling, and inspection details. (Cutoff annually, and destroy on disposal of stockpile.) N1-361-89-2

970.20 DNSC Excess Report Reviews. Documents accumulated in reviewing and analyzing reports of DNSC materials excess to the needs of reporting agencies to determine whether the materials are needed in the stockpile. Included are copies of advanced notification letters, reports of excess, and related records. (Cutoff annually, destroy when 3 years old.) N1-361-89-2

970.30 Disposal Planning Files. Documents accumulated from initiation of FEMA requests for DLA's Office of Stockpile Disposal to develop disposal legislation; through deliberations of the Annual Materials Plan Steering Committee and appropriate subcommittees thereof, internal clearance, clearance with the affected industry, approval of disposal action by FEMA, and preparation and clearance of congressional notification with draft legislation accompanied by a letter from the Administrator of General Services to OMB for clearance before submission to the Congress for action. (Cutoff annually, hold for the life of the stockpile, then retire to FRC. Destroy 10 years after disposal of stockpile.) N1-361-89-2

970.40 Research Study Files. Documents created in studying and analyzing economic, marketing, environmental, technical, and planning considerations affecting the acquisition, maintenance, quality assurance, rotation, beneficiation, upgrading, use, release, destruction, or abandonment of DNSC materials. Included are proposals, requests, studies, analyses, clearance actions, and related records. (Cutoff annually, hold for the life of the stockpile, then retire to FRC. Destroy 5 years after disposal of stockpile.) N1-361-89-2

971 DNSC ACQUISITION AND SERVICE PROGRAM RECORDS. Provides documentation, maintenance, and disposition instruction for program records documenting the procurement, acquisition (through barter), beneficiation, upgrading, processing, refinement, production, and stabilization of DNSC materials.

971.10 Barter Program Directives. Documents relating to authorizations from the Federal Emergency Management Agency (FEMA) to DLA for the Commodity Credit Corporation (CCC) to barter surplus agricultural commodities in exchange for material needed in the national defense stockpiles. Included are barter program directives, advice to CCC not confined to a single barter transaction, and related records. (Destroy on disposal of the stockpile.) N1-361-89-2

971.11 Barter Assistance Files. Documents accumulated in providing advice, assistance, or other services to CCC in connection with the overall barter program or specific barter offers that were not consummated. (Cutoff annually, destroy when 3 years old. Exception: Records relating to assistance in

connection with consummated transactions should be incorporated in 971.20, DNSC Acquisition Contracts.) N1-361-89-2

971.12 Barter Offer Inquiries. Documents accumulated in receiving and answering inquiries and barter offers from sources other than CCC. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

971.20 DNSC Acquisition Contracts. Documents accumulated in the acquisition including beneficiation and upgrading, and under barter programs, of national stockpile materials. Included are documents concerning requirements, proposals, solicitations, amendments, offers, bids, transportation and shipment data, storage locations, handling facilities, inspection services, receiving information, payments, invoices, transfers to stockpile, and related records. For DNSC materials acquired under barter programs, included are documents concerning the identification and exchange arrangements for surplus agricultural products or other commodities involved in the barter transactions. (Place in inactive file on completion of all procurement or contract actions by delivery and acceptance of all materials, property or services determination of barter offer, final payments or audit. Cutoff inactive file annually. Review for destruction when 6 years old, and every 5 years thereafter following determination to continue retention, or destroy after material has been removed from DNSC inventory.) N1-361-89-2

971.21 Service Contract Files. Documents accumulated in awarding and administering contracts for receiving, identifying, inspection services, handling services, technical research, packaging and shipping, and related services incident to the storage of DNSC materials. Included are official contract files, invoices and invoice certifications, receiving reports, and related records. (Place in inactive file upon termination of contract or upon completion of contract by delivery and acceptance of all materials, property, services, final payment, and audit (if applicable). Cutoff the inactive file at the end of the fiscal year, hold 1 year, and retire to FRC. Destroy when 6 years old. N1-361-89-2

971.22 Machine Tool Contracts. Case files created in the preparing, awarding, executing, and administering of M-day machine tool pool order, and machine tool trigger contracts, or comparable contracts. (Place in inactive file on expiration, termination, or completion of the contract by delivery and acceptance of all materials, services, or property. Cutoff the inactive file annually, hold 1 year, and retire to FRC. Destroy when 6 years old.) N1-361-89-2

971.23 Grants Files. [See note after item 831.05D.] Documents accumulated in awarding which are referenced in applicable public laws and awarded to recipients. Case files are created in the preparation, execution, and administration. Included are contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere). [See note after item 971.23(2)(b).]

971.23A Procurement or purchase organization copy, and related papers.

971.23A(1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold").

971.23A(1)(a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000. (Destroy 6 years and 3 months after final payment.) GRS 3, Item 3a(1)(a)

971.23A(1)(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000. (Destroy 3 years after final payment.) GRS 3, Item 3a(1)(b)

971.23A(2) Transactions dated earlier than July 3, 1995.

971.23A(2)(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000. (Destroy 6 years and 3 months after final payment.) GRS 3, Item 3a(2)(a)

971.23A(2)(b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000. (Destroy 3 years after final payment.) [NOTE: Given the complexities of the rules on procurement, agencies should involve procurement officials when deciding which of the sub-items to apply to a particular series of records.] GRS 3, Item 3a(2)(b)

971.23B Obligation copy. Destroy when funds are obligated. GRS 3, Item 3b

971.23C Other copies of records described above used by component elements of a procurement office for administrative purposes. (Destroy upon termination or completion.) GRS 3, Item 3c

971.23D Data Submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS. (Destroy or delete when 5 years old.) GRS 3, Item 3d

NOTE: Unique procurement files are not covered by this records series. With the standardization of the Government-wide procurement process under the FAR, such records are unlikely to exist. However, if an activity believes that a procurement file that has long-term research value, contact the DLA Records Manager to request a change to this records schedule.

971.23 Grants Files. Documents accumulated in awarding which are referenced in applicable public laws and awarded to recipients. Case files are created in the preparation, execution, and administration. Included are official contract files and other related records. Note: Upon completion of contract, place in appropriate closed file. Cutoff closed files at annual or more frequent intervals, hold a comparable period.

971.23A Transactions of more than \$25,000. (Destroy 6 years and 3 months after final payment.) N1-361-89-2

971.23B Transactions of \$25,000 or less. (Destroy 3 years after final payment.) N1-361-89-2

971.30 Disposal Coordination Files. Documents accumulated as a result of coordination with offices responsible for disposal in connection with planning and accomplishing the disposal of DNSC overages. Included are notifications of excesses, clearance actions, and related records. (Cutoff annually following disposal, destroy when 2 years old.) N1-361-89-2

971.40 Lease Files. Documents accumulated in the leasing of real property for the stockpile program. Included are leases for plant site storage and commercial warehouses, requests for space, bids, abstracts, and analyses thereof, solicitations with findings and determinations, analyses and cost estimates, letters of acceptance and rejection, condemnation actions, amendments, alterations, improvements, and maintenance, and related records. (Place in inactive file on termination of or cancellation of the lease. Cutoff the inactive file at the end of the Fiscal Year, hold 1 year, and retire to FRC. Destroy when 6 years old.) N1-361-89-2

971.50 Excess DNSC Acquisition Files. Documents accumulated in coordinating reports of, answering inquiries about, furnishing reporting instructions on, and otherwise coordinating the acquisition of National Defense Stockpile material reported as excess by other agencies. Included are notification letters, clearance actions, excess reports, transfer and shipping instructions, and related records.

971.50A DNSC accepted. (Cutoff annually. Review for destruction when 6 years old, and every 5 years thereafter following determination to continue retention, or destroy after material has been removed from DNSC inventory.) N1-361-89-2

971.50B DNSC not accepted. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

971.60 Storage Facility Agreements. Documents accumulated in negotiating agreements with other Government agencies for vault, open, or specialized storage facilities. Included are agreements, permits, clearance actions, and

related records. (Destroy agreements when superseded or cancelled.) (N1-361-89-2)

971.70 Industrial Hygiene and Safety Management Records. Documents accumulated in the development and management of an industrial hygiene and safety program for the national defense stockpile materials. Included are program development documents, health and safety regulatory directives, legislative matters, health and safety standards, hazardous stockpile material handling requirements, radioactive materials, licensing records and program management, survey and monitoring reports, personnel exposure and medical records, and other industrial hygiene safety related records.

971.70A Individual records of exposure to hazardous materials. (Withdraw upon separation of the individual concerned and transfer records to the Official Personnel Folder.) N1-361-89-2

971.70B Safety standards and regulations. (Destroy when superseded or obsolete.) N1-361-89-2

971.70C Other records. (Cutoff annually, hold 2 years, and retire to FRC. Destroy when 6 years old.) N1-361-89-2

971.70D Cases involving litigations. (Destroy when litigations have been resolved.) N1-361-89-2

971.80 Environmental Affairs. Documents accumulated in the development of environmental impact studies, and assessments, and statements concerning all National Defense Stockpile materials. Included are reports, consultant studies, flood-plain and wetland evaluations, management studies and procedures, and other related records. (Cutoff annually, hold 4 years, and retire to FRC. Destroy when 20 years old.) N1-361-89-2

972 DNSC INSPECTION PROGRAM RECORDS. Relates to documentation, maintenance, and disposition instructions for records documenting the inspection, quality assurance, and surveillance programs for DNSC and other material taken into or disposed of from the various stockpiles.

972.01 Commodity General Files. Individual files established to accumulate general information on the history of, geographical origin of, processing and manufacturing techniques pertinent to, uses of, and similar facts concerning each commodity, exclusive of specific files described elsewhere in this enclosure. Included are correspondence, clippings, reprints, technical data, and similar records.

972.01A (Destroy 1 year after removal of the entire commodity from the stockpile.) N1-361-89-2

972.01B (Clippings, reprints, and similar technical data may be destroyed when superseded or obsolete.) N1-361-89-2

972.10 National Defense Stockpile Files. Documents accumulated in the stockpiling of national defense stockpile materials declared as surplus by other Government agencies or recovered from Defense contractors. Included are surplus declarations, weight and analysis certificates, and correspondence and related documents of the type usually found in stockpile purchase files. Files are arranged by commodity and National Stockpile Procurement (NSP) number. (Transfer to FRC 3 years following removal of the commodity from the stockpile. Destroy 8 years after removal.) N1-361-89-2

972.20 Procurement Contract Inspection Files. Case files created as a result of inspecting commodities for compliance with procurement, barter, beneficiation, or upgrading specifications. Included are copies of contracts, amendments, and specifications, acceptance and analysis reports, shipping instructions and notices, and related records. (Destroy 6 years after commodity is no longer held in the stockpile.) N1-361-89-2

972.21 "Depot" Inspection Files. Documents accumulated in inspecting and reporting on the condition and security of materials in storage, including the condition and adequacy of storage facilities. Included are completed inspection

reports, trip reports, similar documents, and related records. (Destroy 6 years after commodity is no longer in stockpile.) N1-361-89-2

972.22 Inspection Indexes. Card indexes to "contract" and "depot" inspection records. Card sets relate contract numbers, commodities, and contractors.

972.22A Acquisition contracts. (Destroy 6 years after disposal of commodity.) N1-361-89-2

972.22B Disposal contracts. (Destroy 6 years after completion of contract.) N1-361-89-2

972.23 Inspection Comments. Documents accumulated in reviewing and commenting on the probable quality and on the inspection requirements associated with barter offers, reports of excess DNSC materials, and other proposed acquisition actions that did not materialize and for which there are no "contract" or "depot" inspection records. (Cutoff annually, destroy when 2 years old.) N1-361-89-2

972.24 Inspection Assignment and Coordination Files. Documents accumulated in scheduling, assigning, and coordinating inspection activities. Included are inspection schedules or programs and related communications and records. (Cutoff annually, destroy when 2 years old.) N1-361-89-2

972.25 Inspection Interchange Agreements. Documents accumulated in arranging for and formalizing interchange agreements with other Federal agencies having contracts with GSA contractors. (Cutoff annually following expiration or cancellation of the interchange agreement, destroy when 2 years old.) N1-361-89-2

972.26 Inspection Activity Evaluations. Documents accumulated in connection with surveys of, or staff visits, to regional offices, including field activities, to evaluate the performance of inspection and quality control activities and provide recommendations for improvements. (Destroy after the next 2 succeeding visits or after 5 years, whichever occurs first.) N1-361-89-2

973 GENERAL STORAGE PROGRAM RECORDS. Documents related to the documentation, maintenance, and disposition instructions for records documenting functions performed in the general management of the storage of Defense National Stockpile Center (DNSC) materials.

973.05 Radioactive Material Licensing Files. Documents relating to licenses (issued by the Nuclear Regulatory Commission) for individuals to obtain and handle sources of ionizing radiation. Included are applications, review actions, licenses, amendments, and related records. (Cutoff annually following cancellation or final expiration of the license, destroy when 2 years old.) N1-361-89-2

973.10 Storage Agreements. Documents accumulated in preparing, negotiating, and approving agreements relating to maintenance, storage, use, and shipment of DNSC materials. This category is limited to agreements not incorporated in official directives. (Cutoff annually when expired, cancelled, or obsolete; destroy when 3 years old.) N1-361-89-2

973.11 Protection Agreements. Documents accumulated in reviewing and securing approvals for agreements (between storage facilities and other organizations in the area) to provide mutual or other assistance in fire fighting and other protection operations. Included are proposed agreements, copies of approvals, and related records. (Destroy when expired, cancelled, or obsolete.) N1-361-89-2

973.20 Facility Files. Documents created in determining the need for, and recommending the establishment, organization, staffing, relocation, or discontinuance of, depots, storage facilities and sites, and associated shops, excluding Storage Space Acquisition Files described in files series 973.21, Storage Space Acquisition Files. Included are economic, feasibility, and other studies, organization and staffing plans, recommendations, and related records. (Cutoff annually; destroy 3 years after discontinuance of the facility.) N1-361-89-2

973.21 Storage Space Acquisition Files. Documents listing potentially acceptable space or facilities, reports of inspection, selection and acquisition of space or facilities for storing DNSC materials. Included are copies of requests, drawings and specifications, space listings, findings, clearance actions, notices of selection, and related records. (Cutoff annually, destroy when 7 years old.) N1-361-89-2

973.30 Special Space Construction Files. Documents accumulated in establishing requirements and specifications for authorizing and coordinating construction of special storage space at DLA or military storage sites. Included are requirements, specifications and drawings, approvals, construction requests, cost estimates, and related records. (Place in inactive files on completion of construction, cutoff the inactive file annually, destroy when 7 years old.) N1-361-89-2

973.40 Qualitative Maintenance Projects. Documents accumulated in establishing, coordinating, controlling, and monitoring the status of projects concerned with maintenance of buildings, grounds, and sites; identification, protection, packaging, and warehousing of materials; and similar matters at DLA, commercial, and DoD storage locations. Included are project recommendations, estimates, drawings, specifications, approvals, advisory memorandums on initiation and completion dates, trip reports, project status reports, and similar records, but not documents belonging in the Service Contract File described in file series 971.21, Storage Space Acquisition Files. (Cutoff annually following completion of project. Review for disposal after 6 years.) N1-361-89-2

973.41 Qualitative Maintenance Project Registers. Special registers used to control numbers assigned to, and to record identifying information about, authorized qualitative maintenance projects. (Destroy when obsolete.) N1-361-89-2

973.50 Protection Inspection Files. Documents accumulated as a result of inspections (normally made in collaboration with Public Building Services (PBS) representatives) to determine standards, guidelines, and measures required at individual storage facilities to prevent thefts, unauthorized admissions, or comparable occurrences. Included are checklists, reports, follow-up actions, and related records. (Cutoff annually following completion of follow-up action, destroy when the facility is closed.) N1-361-89-2

973.51 Storage Inspections. Documents created in planning, conducting, reporting on, and following up on, inspections of material storage, storage space utilization, transportation, and similar activities at storage facilities, but not documents relating to commodity inspections.

973.51A Central office. (Cutoff annually, destroy when 2 years old.) N1-361-89-2

973.51B Zone office. (Withdraw and destroy after completion of the next comparable inspection.) N1-361-89-2

973.52 Staff Visits and Surveys. Documents relating to staff visits (exclusive of formal inspections) made to survey operational activity, provide technical assistance, and determine the adequacy of storage methods, instructions, protection, maintenance, and management. Included are survey and visit reports, follow-up actions, and related records. Excluded are records relating to visits made in connection with specific projects, contracts, or activities which shall be identified with and included in the file for the project, contract, or activity. (Cutoff annually, destroy when 2 years old.) N1-361-89-2

973.53 Unusual Occurrence Reports. Reports and directly related records providing information on unusual occurrences at storage facilities, such as fires, damages to stocks or facilities, thefts, losses, unscheduled visits, requests for information from individuals not authorized to have the information, or similar matters, exclusive of records required for documenting property accountability actions and investigations. (Cutoff annually, destroy when 2 years old.) N1-361-89-2

973.60 Storage Equipment Files. Documents accumulated in determining the need for, developing specifications for, approving requisitions for, arranging for the procurement of, and authorizing the transfer, redistribution, or disposition of material handling equipment (MHE), storage aids, packing preservation, and shop equipment, or similar equipment. Included are consolidated requirements, requisitions, purchase specifications, approvals, procurement requests, excess equipment reports, transfer and disposal instructions, and related records. (Cutoff annually, destroy when 2 years old.) N1-361-89-2

973.61 MHE Identification Data Files. Documents used to provide identification data for, and inventory controls over material handling equipment at storage facilities. (Destroy on disposition of the equipment.) N1-361-89-2

973.70 Space and Operation Reports. Documents reflecting workload, accomplishments, problems, space utilizations, tonnage and other information about materials, and similar data. Included are space and tonnage reports, preservation depot reports, weekly or other activity reports, material status reports, and related records.

973.70A Central office. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

973.70B Zone office. (Destroy when obsolete.) N1-361-89-2

973.80 Storage Training Files. Documents created in monitoring, clearing, approving, arranging, reporting on, or taking other action in connection with training in storage and related activities, but not documents relating to training of personnel of the immediate office. Included are training course requests, reports of training, including orientation training, memorandum training reports of training provided to local, State, and other agency personnel, and related records. (Cutoff annually, destroy when 2 years old.) N1-361-89-2

973.90 Government Bill of Lading (GBL) Issuing Officer Designation. Documents accumulated in coordinating the designation of individuals as GBL issuing officers. (Cutoff annually following cancellation of designations, destroy when 4 years old.) N1-361-89-2

973.91 Car Records. Car records (car detention records), carrier bill, and related records which are forwarded to regional offices for certifying carrier demurrage bills and payment. (Cutoff annually, destroy when 4 years old.) N1-361-89-2

974 DNSC STORAGE PROGRAM RECORDS. Relates to documentation, maintenance, and disposition instructions for program records accumulated in technically supervising and administering the shipment, receipt, handling, storage, preservation, and release of the Defense National Stockpile materials.

974.10 Storage Receipt and Release Files. Documents accumulated in commenting on, authorizing, managing, and arranging for the shipment, receipt, handling, storage, preservation, and release of DNSC materials. Included are copies of contracts, commitment telegrams, advisory memorandums on location, handling, and timing of shipments, shipping instructions, shipping orders, delivery orders, receiving reports, over, short, and/or damage reports, outbound storage reports, transit freight records, weight certificates, and related records.

974.10A Central office. (Destroy 1 year after completion of contract.) N1-361-89-2

974.10B Zone offices. (Destroy when all material is removed from storage.) N1-361-89-2

974.11 DNSC Materials Release Controls. Registers, cards, or other controls used to record information about, and control numbers assigned to, shipping orders, shipping instructions, or other documents used in authorizing the release and shipment of DNSC materials. (Destroy when obsolete.) N1-361-89-2

974.20 Storage Claim Files. Documents accumulated in reviewing and processing all claims involving loss of or damage to materials while in commercial warehouses or facilities of processing firms. Included are copies of reports of

losses and damages, findings and recommendations, and related records. (Cutoff annually following settlement of the claim, destroy 2 years after settlement.) N1-361-89-2

974.30 Physical Inventory Files. Documents accumulated in scheduling, supervising, coordinating, and assisting in the physical inventory of DNSC materials. Included are inventory notices and schedules, physical inventory reports, coordination actions, and related records. (Destroy 6 years after removal of material from the stockpile.) N1-361-89-2

974.40 Commodity Inventory Work Papers. Work papers used by commodity specialists for planning purposes and to keep a summarized running inventory of individual commodities by grade and location. (Cutoff annually, destroy when no longer needed for reference.) N1-361-89-2

974.50 Report of Survey Recommendations. Documents accumulated in initiating recommendations and justifications (to the GSA Board of Survey) for the write-off of, or other appropriate action for, lost, destroyed, or deteriorated DNSC materials. Included are recommendations, Board reports, and related records. (Cutoff annually following final action by the Board, destroy on removal of stockpile.) N1-361-89-2

974.60 Sign Requests. Documents accumulated in coordinating the determination of positive identification of, and in requesting and furnishing, appropriate signs for DNSC materials. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

974.70 Storage Cost Estimates. Documents accumulated in developing and providing DoD components with estimates of the costs connected with, and in approving reimbursements for, handling DNSC material. (Cutoff annually, destroy when obsolete.) N1-361-89-2

984 DNSC DISPOSAL PROGRAM RECORDS. Relates to documentation, maintenance, and disposition instructions for program records documenting disposal of DNSC materials through sale, transfer to Agency for International Development (AID) programs, release, destruction, or abandonment and for program records documenting market and technical support provided in connection with these disposal activities.

984.10 Disposal Project Files. Documents accumulated in assisting and participating in the determination of excess DNSC materials, the selection of material (by lot, grade, and location) for disposal, and other actions leading up to but excluding contractual actions. Included are copies of directives regarding the development of disposal plans, copies of the disposal plans, minutes of meetings, and related records. (Cutoff annually, destroy when 3 years old.) N1-361-89-2

984.20 Bidder Mailing List. Documents accumulated in establishing, verifying, effecting changes in, maintaining, and controlling bidder mailing lists. Included are cards, listings of bidders and their addresses, requests for addition or deletion of names on the lists, bidder list control records, and related records.

984.20A Lists. (Destroy when superseded, canceled, or obsolete.) N1-361-89-2

984.20B Cards. (Destroy when no response is received through the fifth invitation, when invitation is returned due to incorrect address, on receipt of a negative response to an inquiry, or on request for withdrawal of name.) N1-361-89-2

984.20C Other records. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

984.30 DNSC Sales Contracts. Documents created in the sale of excess DNSC materials, including sales through AID programs. Included are invitations to bid, solicitations of offers, and sale announcement; purchase requests and authorizations; material inspection permits; requests for and transmittals of samples; bids, bid cards, and abstracts; sales documents and copies of contracts; requests for and copies of shipping documents; and other records related to the sale. (Place in inactive file on completion of sale, cutoff the

inactive file at the end of the year, hold 1 year and retire to FRC. Destroy when 6 years old.) N1-361-89-2

984.31 Sales Contract Registers. Registers maintained by stockpile program or by commodity and used to record data about the control actions relating to sales of DNSC materials. Included are sales contract registers, daily sales registers, daily telephonically awarded off-the-shelf sales, control registers, and similar registers. (Destroy 3 years after register is filled.) N1-361-89-2

984.32 Sales Reports. Daily or other reports, including directly related records (prepared from the various sales registers or from other data) reflecting information on disposal sales activity, Government-wide sales, quantity and value of sales, and similar matters. (Cutoff annually, destroy when 1 year old.) N1-361-89-2

984.40 Market Price Registers. Registers, worksheets, or comparable documents used to record prices of selected commodities in national, foreign or world markets.

984.40A Worksheets. (Destroy when data is transferred to a register or other formal document.) N1-361-89-2

984.40B Other records. (Cutoff annually, destroy when 5 years old.) N1-361-89-2

984.50 Rubber Lot Cards. Cards maintained on rubber lots and used to pose information about the issuance of inspection permits and for disposal sale purposes. (Withdraw and destroy on sale or other disposal of the lot concerned.) N1-361-89-2

984.60 DNSC Material Destruction or Abandonment Cases. Documents accumulated in recommending, justifying, and approving the destruction or abandonment of surplus DNSC material which is un-salable or for which care and maintenance exceeds the estimated proceeds from its sale. Included are proposals, public announcements and invitations to bid, determinations and findings, copies of research reports, boards recommendations and approvals, and related records. (Cutoff annually, destroy when 3 years old.) N1-361-89-2

984.70 Contract Board Files. Documents accumulated by the Contract Board in reviewing, amending, approving, or disapproving draft disposal plans; invitations for bid; draft sales catalogs; contracts; recommendations for abandonment, destruction, or release of un-salable excess DNSC material; and similar actions. (Cutoff annually, destroy when 3 years old.) N1-361-89-2

984.80 DNSC Materials Technical Files. Documents, tables, and worksheets accumulated in assisting and participating in the developing market and environmental impact studies of DNSC materials involved in the Annual Materials Plan (AMP). Included are documents of confidential and proprietary company data, market and economic analyses of DNSC material acquisition and disposal activities, and econometric models of DNSC materials. (Cutoff annually, hold 3 years and retire to FRC. Destroy when 15 years old.) N1-361-89-2

MANUFACTURING

990 MANUFACTURING. Relates to the manufacturing of supplies in DLA-operated manufacturing facilities.

990.01 Manufacturing. Documents relating to manufacturing of supplies in DLA-operated manufacturing facilities. Documents relative to manufacturing and production in commercial or other than DLA-operated facilities should be classified under the 810.00 series. (Destroy after 10 years.) NN-168-94

990.05 Production Control Files. Work orders, job orders, turn-in slips, issue slips, estimate sheets, production reports, and other papers relating to the scheduling, dispatch, follow-up, and control of items to be manufactured. (Place in inactive file upon completion of related work and destroy after 5 years.) NN-168-94

990.10 Manufacturing Methods Project Files. Documents relating to the improvement, modification, and modernization of manufacturing processes and

procedures, such as drawings, photographs, job orders, routing sheets, reports of revised processes and procedures, and related papers. (Place in inactive file upon completion of individual project and destroy after 5 years.) NN-168-94

990.15 Special Measurement and Orthopedic Footwear Files. Case files, requisitions for construction of special measurement and orthopedic footwear items (boots and shoes). Included are DD Form 150, Special Measurement Blank for Special Measurement/Orthopedic Boots and Shoes, DOFC Form 10, Fitting Report - Special Footwear, and related documents. (Destroy after 5 years unless specific information on individual cases justify further retention, in which case files will be destroyed when no longer needed.) NC1-361-81-1

990.20 Quality Control Files. In process inspection sheets, rework records, reports reflecting frequency distribution of manufacturing defects, and related papers maintained for detection, prevention, and control of manufacturing defects. (Place in active file upon completion of final production order for the related component and destroy after 3 years.) NN-168-94

ALTERNATIVE FUELS

995 ALTERNATIVE FUELS. Relates to the management of supply, procurement and transportation of alternative fuels and natural gas to meet the needs of the military departments. Includes the provision of test fuels to the military departments for research and development purposes. NOTE: When using the 110, Common Records series in conjunction with the 995 Alternative Fuels series, all common records scheduled for disposal should be screened for potential inclusion in 995.40, Research and Development prior to destruction as a common record.

995.01 Alternative Fuels Program/Project Files. Documents related to the formulation, management, administration and execution of individual Alternative Fuels programs such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.) N1-361-92-4

995.02 Alternative Fuels Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Alternative Fuels matters including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere. (Destroy after 2 years.) N1-361-92-4

995.10 Tariff File. Tariffs and agreements issued, pipeline and distribution companies published tariff documents, related changes and backup materials used to formulate, administer, evaluate and monitor transportation and traffic management plans, policies, programs, procedures, systems and performance measurement standards; to ensure efficient and economic distribution of natural gas and alternative fuels; and to identify gas market opportunities. (Destroy when superseded, obsolete or no longer needed for reference.) N1-361-92-4

995.20 Rate and Tariff Information Systems Data. Information produced in hard copy form from various rate and tariff information systems and electronic bulletin boards used for conducting cost comparisons of contracts providing fuels and for providing pricing information for existing contracts. (Destroy after 2 years except records relating to contracts in litigation will be destroyed 2 years after case is closed.) N1-361-92-4

995.30 Technical Liaison. Copies of contractual documents, agreements, modifications, payment documents and similar materials used to conduct technical liaison with the Department of Treasury and the Department of Energy for all matters pertaining to alternative fuels programs. (Destroy 2 years after expiration of contract/agreement.) N1-361-92-4

995.40 Research and Development. Reports, correspondence, studies generated by government/non-government sources, proposals, written descriptions, contractual

data, related documents and backup materials used for current and future planning, research, development, and analysis of alternative fuel sources and technologies. (Destroy when no longer needed for reference. NOTE: Due to the nature of evolving technologies and the potential for future reoccurrence of investigations into alternative fuel sources, caution should be exercised when determining the future reference value of these records.) N1-361-92-4

995.50 Alternative Fuels Supplies. User fuel requirements and related documentation and correspondence used to develop methodologies and direct actions for supplying alternative fuels. (Destroy when 2 years old.) GRS 3, Item 4a

995.55 Emergency Supplies. Correspondence related to emergency purchases and copies of contract modifications used to identify emergency supplies for using activities. (Destroy after 1 year.) N1-361-92-4

995.60 Natural Gas Pricing/Supply. Publications from natural gas industries and related marketing information used to maintain gas price/supply data for determining market price ranges. (Destroy after 2 years.) N1-361-92-4

995.70 Natural Gas Purchases. Copies of prepared purchase requests, contracts and agreements, memorandums of understanding, quality and measurement specifications, proposal evaluations, contract administration documentation, meeting minutes, related correspondence and backup materials used to conduct negotiations, initiate purchases, and direct supply action requirements. (See 831.05, Contracts.) N1-361-92-4

995.80 Alternative Fuel Studies. Consultant studies, internal studies, installation information on operating characteristics, information on local fuel companies, related correspondence and backup materials used to select sources, determine availability of spot market fuels and analyze support capabilities. (Destroy after 3 years.) N1-361-92-4

995.90 Nominating Gas/Fuel Movement. Tracking documents; curtailments; communication records; and related correspondence; not filed under 995.70, Natural Gas Purchases. These records are used to manage inventories of product on hand and in transit, assist activities nominating gas, resolve problems with gas supplies, and to support cases under litigation. (Destroy with related contract or agreement.) N1-361-92-4

995.95 Invoices and Billings. DD Forms 1155, Order for Supplies or Services; FL Forms 45, Certification of Funds; supplier invoices; billing documents; spreadsheets; and related backup materials (for receipt and acceptance copies see 110.73, Contracting Officer's Technical Representation (COTR) Files) used to oversee supplier invoice process and coordinate billing. (Destroy after 3 years.) N1-361-92-4

Encl 2

DLAI 5015.1

RECORDS MANAGEMENT REQUIREMENTS AND DLA FUNCTIONAL FILES SYSTEM

A. RECORDS MANAGEMENT REQUIREMENTS

1. Determining Record Status. DLA Activities shall distinguish between record and non-record materials.

a. Record Materials. Designate information as a record when it is:

(1) Made or received by DLA under Federal law or in connection with the accomplishment of the mission or the transaction of official business in peacetime and wartime, and

(2) Preserved or appropriate for preservation as evidence of DLA organization, functions, policies, decisions, procedures, operations or activities, or because of the value of the information contained in the record.

b. Non-record Materials. Designate as non-record materials:

(1) Library and museum material when such material is made or acquired and preserved solely for reference or exhibition.

(2) Extra copies of both electronic and non-electronic material when the sole reason such copies are preserved is for convenience of reference.

(3) Stocks of publications and processed documents, including reports, brochures, pamphlets, books, handbooks, posters and maps. Each DLA Activity shall maintain one record copy of each of its publications and processed documents.

(4) Information that does not meet the requirements of paragraph A1a.

c. Special Determinations

(1) Working Materials

(a) In accordance with 36 CFR 1222.34(c), designate preliminary drafts, notes, and similar materials as records when they contain information needed to constitute reliable and authentic records. Substantive annotations or comments that add to a proper understanding of the formulation and execution of policies, decisions, actions, or responsibilities are records.

(b) Destroy non-record working materials at individual discretion when requirements for making and maintaining records are met.

(2) Personal Documentary Materials. In accordance with 36 CFR 1222.36, designate as personal documentary material, information that is private or nonpublic in character that does not relate to, or have an effect upon the conduct of DLA business.

(a) Clearly designate personal documentary materials as such and maintain them separately from record materials.

(b) When circumstances change and personal documentary materials later relate to, or effect the conduct of DLA business (e.g., criminal investigations, litigation, court orders, contract disputes), re-designate the materials as records.

(c) When a document contains information about both DLA business and private matters, delete the personal information from the record copy.

(3) Contractor Records. All information created for Government use and delivered to or falling under the legal control of the Government are Federal records and shall be managed accordingly and scheduled for disposition in accordance with this Instruction. For information created or received and maintained for the Government by contractors, DLA Activities shall specify:

(a) The delivery to the Government of all data needed for adequate and proper documentation of contractor operated programs, in accordance with Federal and Defense acquisition requirements;

(b) Delivery of background information that may have reuse value to the Government;

(c) Deferred ordering and delivery-of-information and rights-in-information clauses in contracts when necessary to ensure adequate and proper documentation or reuse of the information by the Government;

(d) Delivery of sufficient technical documentation for electronic information deliverables to permit use of the data by DLA or other Government agencies.

d. Special Media and Technologies. The media and the technologies used to create, capture, or store information are immaterial in determining the record status of documentary materials. The focus is upon the value of the information in the record, not the medium. Information in electronic, audio and/or visual, cartographic and other forms shall be designated as record in accordance with paragraph A1.

2. Managing Information as Records. Ensure maintenance of all records in authentic, reliable, and usable form throughout their life cycles. Any records management system must:

a. Provide for the grouping of related records into classifications according to the DLA Records Schedule.

b. Permit easy and timely retrieval of both individual and/or organizational records and files or groupings of related records.

c. Retain the records in a usable format for their required retention period.

d. Be accessible by individuals who have a need for this information in the performance of their duties.

e. Permit transfer of permanent records to the National Archives and Records Administration (NARA) in accordance with this Instruction.

3. Records Retention

a. Retain records as long as required in the DLA Records Schedule. Destroy or delete those records that are authorized for disposal as soon as indicated in the schedule. Transfer records scheduled for permanent retention to the National Archives promptly in accordance with the records schedule.

b. Identify records that are not covered by existing records schedules and submit requests for disposition authority that cover them. Maintain the unscheduled records until the proposed disposition is authorized by NARA and incorporated in the DLA Records Schedule, then apply the instructions in the schedule.

(1) When developing recommendations for records schedules, propose disposition instructions that:

(a) Satisfy DLA mission needs in wartime and peacetime,

(b) Meet legal and regulatory requirements,

(c) Indicate historic value, and

(d) Are formulated in accordance with DoD Standard Disposition Language (under development by the Army Research Lab and to be released as a DoD Standard).

(2) DLA Activity Records Officers shall collaborate in developing or modifying record schedules for common types of records.

(3) All requests for records disposition authority shall be submitted through the DLA Activity Records Officer to DASC-DD for approval and signature as agency representative. DASC-DD will submit final proposals to NARA.

c. Security Classified Records. Record retention periods are determined by the value of the information in the record to the mission, regardless of security classification or its declassification instructions. Disposition of security classified records shall be in accordance with existing records schedules. DLA Activities shall not maintain security classified information, based solely on the security classification or declassification schedules of the record.

d. Records Transfer, Custody and Access. Minimize records management resource requirements by transferring records with expected low retrieval rates to a Federal Record Center. Transfer certain personnel, medical, and pay records identified in enclosure 1 to the National Personnel Records Center, (Civilian Personnel Records), 111 Winnebago Street, St. Louis, MO 63118.

Records accepted by a Federal Record Center for storage, processing and servicing are considered to be maintained by the DLA Activity that deposited the record. The Archivist of the United States will not disclose the record except to the DLA Activity that maintains the record, or under rules established by DLA that are not inconsistent with existing laws. Federal Record Centers established by the Archivist of the United States retain transferred records for the DLA Activity until:

(1) Recall by the transferring activity

(2) Destruction concurrence is obtained from the transferring activity in accordance with 36 CFR 1228.164. (Exceptions are records maintained by the National Personnel Records Center that are covered by the General Records Schedule and destroyed in accordance with those schedules without further clearance.)

(3) Transfer of legal and physical custody from the DLA Activity to the National Archives as described in 36 CFR Subpart J, Transfer of Records to the National Archives.

4. Electronic Records. Manage electronic records in accordance with reference A2 and this instruction.

a. Desktop Computing. Electronic records include information and files created by individual employees using applications such as E-mail, word processing, and spreadsheet software.

(1) Records created in a desktop computing environment should be saved and maintained in a records management system, which may be automated or manual.

(2) Apply the instructions for Automated Document Conversion in paragraph A7, before electronic records are printed on paper or microfilm for recordkeeping.

b. Information Systems. Systems that retain information used in the conduct of mission or support activities are electronic records systems. Systems that capture data in real time but do not retain that data are not electronic record systems.

(1) Outputs. Output from an information system may qualify as a record. Do not retain the output unless it is needed in another system or it is difficult or costly to reproduce the output.

(2) Databases. Manage any database used in the conduct of DLA business as an electronic record system. Database records include the data organized for input into the database, the data stored according to the logical structure of the database, and data output as reports or views. Database records also include the specifications for the input screens, the logical schema and the definitions for output.

(a) Rules governing updates, alterations and deletions of data in the database must be consistent with the records schedule that applies to the database.

(b) Maintain adequate technical documentation for the databases. Minimum documentation includes the name, size, starting or relative position (such as alphabetic, zoned decimal, packed decimal, or numeric); form of each data element; logical schema; indices; rules governing the database; input and output specifications; the data dictionary, or equivalent information; and other technical information needed to read or process the records.

c. Maintenance Requirements

(1) Implement standard records coding schemes as they are established.

(2) Maintain electronic records in accordance with the DLA Records Schedule, as provided in enclosure 1 by incorporating disposition instructions into the design of automated systems.

(3) Maintain adequate technical documentation for electronic records to enable the records to be retrieved, read, and understood. When a system is modified, retain documentation describing the previous state of the system for as long as any records are kept that are not migrated to the modified system.

(4) Maintain electronic records in accessible form throughout their life cycles. When records are dependent on specific hardware or software:

(a) Maintain the hardware or software as long as the records are maintained;

(b) Ensure backward compatibility when changing hardware or software or;

(c) Convert the records to another media, in accordance with Automated Document Conversion procedures in paragraph A7, to enable them to be retrieved, read, and understood when the hardware or software is changed.

(5) Store electronic records in off-line electronic formats (e.g., optical disk, magnetic tape) only when the electronic format meets the

requirements of Section 1234.30(a) of reference A3. Enclosure 3 provides guidance for selection of storage media based on life expectancy.

d. Backups

(1) System backups. DLA Activities should not use system backups for recordkeeping because they do not usually meet records management requirements. Backup copies of systems and storage devices provide an important safeguard against unintentional loss of information.

When maintaining backups to provide for recovery in the event of system or data loss, and not for records keeping, regularly recycle the backups. As a rule, recycle every third generation. Retain only the most recent backup and the one immediately preceding the most recent.

(2) Duplicate copies of electronic records. Section 1234.30(f) of reference A3 requires that all agencies maintain duplicate copies of both permanently valuable electronic records and electronic records not covered by the DLA Records Schedule. Regular system backups are appropriate means of duplicating electronic records when maintaining the primary copy on-line.

(3) Off-line storage. In cases where there is a need to retain electronic records only off-line, write two copies of the records to off-line media on a file-by-file basis.

(4) Exceptions. In rare cases where special circumstances justify the use of backups for recordkeeping, ensure that:

(a) Records are retained for as long as required in the applicable records schedule;

(b) Disposable records are deleted on schedule, and permanent records transferred to the National Archives as scheduled.

(c) The capability to respond to Freedom of Information Act and Privacy Act requests for records on the backups is maintained;

(d) The provisions of paragraphs A2, A3a, and A8 of this enclosure are maintained.

5. Managing Electronic Mail Messages

a. Electronic Mail Outside of the Defense Messaging System. Determine the record status of e-mail messages in accordance with paragraph A1 of this enclosure. When an electronic mail message qualifies as a record, the record includes all attachments such as word processing files, spreadsheets, and similar materials transmitted via mail messaging. Apply the following standards for management of electronic mail message records:

(1) Transmission and receipt data. Data identifying the sender, addressee(s), and the date(s) and time(s) the message was sent and/or received must be maintained as part of the record.

(a) Retain records that link the real names or titles of senders and addressees to codes or aliases when electronic mail identifies users by codes or aliases.

(b) Retain records that identify addressees on a distribution list as long as any e-mail records sent to the distribution list are retained. It is sufficient to retain one copy of a distribution list when all records addressed to that list can be linked to it.

(2) When an electronic mail system allows users to request acknowledgments or receipts showing that a message was received and/or opened by an addressee:

(a) Require acknowledgments or receipts only when the information is important to the mission as evidence of the transaction of official business.

(b) Preserve acknowledgments and receipts as part of the record.

(3) Electronic Mail Records Storage

(a) Store electronic mail messages that are records on the electronic mail system only, when the electronic mail system meets the requirements of paragraphs A2 and A6.

(b) If an electronic mail system does not meet the requirements of paragraphs A2 and A6 of this enclosure, copy or move records from the mail system to an approved recordkeeping system. Apply the provisions of paragraph A7 of this enclosure before converting e-mail records to another format.

b. Managing Defense Message System (DMS) Records. All messages originated, stored, or received in the DMS are Federal Records, and shall be managed in accordance with reference A2 and this Instruction. Implement DMS records management mechanisms used to support local records management policy in accordance with the Allied Communication Publication 123, "Common Messaging Strategy and Procedures," United States Supplement 1, current edition, available from the Defense Message System Program Office.

6. Electronic Records Management Software. When acquiring, developing, or upgrading technology to maintain records electronically, apply the following instructions:

a. Cost and convenience. Consider the life cycle costs of both the automated and manual methods of maintaining records before implementing an electronic records management system. Cost should also take into consideration the time required to access and/or retrieve documents. Give special consideration to retrieval requirements; user convenience; and operational, maintenance, and training costs that continue over the life of the system.

b. Baseline Software Requirements. DoD STD 5015.1, Department of Defense Design Criteria Standard for Records Management Application Functional Baseline Requirements, specifies the mandatory baseline requirements for software used to maintain or manage records. These are the core functions that records management software must satisfy. The standard set forth in DoD STD 5015.1 shall govern to the exclusion of any other issuance of DLA or DoD. Supplement these requirements to satisfy site specific requirements, in the areas of performance, capacity, operating environments, and special interfaces.

The Joint Interoperability Test Command (JITC) has implemented a test and certification program to certify software that conforms to and satisfies the standard. To ensure proper implementation of records management policy and procedures, only software products that have been certified may be acquired. Certified products are listed in the Records Management Application Certified Products Register, available from Commander JITC, Attn: JTDB, Fort Huachuca, AZ 85613; phone (520) 538-5169, DSN 879-5169; Fax (520) 538-4375; or through the JITC World Wide Web (WWW) home page. The JITC WWW home page uniform resource locator is: <http://www.jitc.fhu.disa.mil/recmgt/>, or <http://www.dasc.dla.mil/records/> Vendors should submit their software products to the JITC address above in order that they may be certified as satisfying the core requirements. When a vendor product is certified it will be added to the Records Management Application Certified Products Register.

7. Web Pages

a. Web pages are usually considered official records because they document the mission and current organizational structure of a DLA Activity as well as certain key functions, policies, or procedures. In addition to the current version of a Web page, previous versions may also be records. The author of the Web page is responsible for determining which previous versions qualify as records. The author's determination is based on the significance and uniqueness of the version content. Web authors should provide the authorized record series

retention and disposition instructions (found in enclosure 1 of this Instruction) to the Web Master for use in managing the life-cycle of the record.

b. Previous versions of a Web page that do not qualify as records are defined as "non-record" material and should be overwritten or deleted from the system within 30 days of the final posting of the updated version of the Web page. Requests for waivers or exceptions should be submitted to the DLA Chief Information Office.

8. Information Integrity. Safeguard all records by implementing and maintaining effective records security programs that:

a. Ensure that all DLA Activity personnel receive training and understand the processes and procedures for managing both electronic and non- electronic records, including safeguards for sensitive or classified electronic records.

b. Ensure that only authorized personnel have access to records.

c. Provide for backup and recovery of electronic records to protect against loss.

d. Link or associate each record to distribution and records retention lists that are readily available. Electronic distribution lists should use organizational accounts only, and should relate directly to their non-electronic counterparts.

e. Provide for electronic authentication and encryption of electronic records and minimize the risk of unauthorized alteration or erasure. When used, electronic authentication and encryption become an integral part of the record and require management with the record.

f. Interface records management systems with other systems or applications as needed. In the event an interface is not practical, an acceptable records management system would provide these six important capabilities:

(1) Protection of information contained in records at the appropriate level of security maintained by the application;

(2) Unique identification of the initiator of each security relevant event;

(3) Authentication of the user or access requester using passwords or other appropriate mechanisms before granting any individual access to information in records;

(4) Maintain confidentiality of information in records by preventing disclosure to unauthorized individuals;

(5) Ensure the integrity of all records by maintaining or providing information for an audit log of all security relevant events; and

(6) Link authentication (digital signature) information with the record.

g. Ensure inclusion of electronic records security in computer systems security plans pursuant to Title 40 United States Code Section 759 Historical and Statutory Notes "Computer Security Act of 1987."

9. Record Management Reviews. Each DLA Activity shall conduct periodic reviews to identify records, ensure that records are managed effectively and efficiently, and ensure any unscheduled records become included in the DLA Records Schedule. The frequency of periodic reviews shall insure compliance with the 1 year Federal regulatory time constraint for scheduling records.

B. DLA FUNCTIONAL RECORDS SYSTEM

1. Records Management Program Objectives

a. Document the performance of agency functions adequately and properly.

b. Establish minimum retention periods consistent with the overall interests and needs of the Government and the public.

c. Remove appropriate records from office space to low-cost storage space when reference is low.

d. Preserve permanent records for eventual transfer to the National Archives.

e. Destroy temporary records as soon as authorized.

2. Documentation

a. General. Federal law requires that agency heads "make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities." (44 USC 3101) Documentation concerns the creation of records essential to ensure a complete account of record actions taken, decisions and commitments made, and the results of actions taken. It includes the subsequent assembly or consolidation of records of a transaction in a specific order as described in paragraph B7a.

b. Record Status of Copies. The determination as to whether a particular document is a record does not depend upon whether it contains unique information. Multiple copies of the same document and documents containing duplicative information may each have record status depending on how they are used to transact agency business.

c. Contractor Documentation. DLA contracts shall specify the delivery of all data required by the Federal Acquisition Regulation (FAR) and Department of Defense Federal Acquisition Regulation Supplement (DFARS) as necessary to ensure adequate and proper documentation of contractor activities.

3. Personal Papers

a. Description. Papers of a private or nonofficial character that pertain only to an individual's personal affairs and are kept in the office of a Federal official shall be clearly designated as nonofficial and shall at all times be filed separately from the official records of the office. Examples of personal papers include:

(1) Materials accumulated by an official before joining Government service that are not used subsequently in the transaction of Government business.

(2) Materials relating solely to an individual's private affairs, such as outside business pursuits, professional affiliations, or private political associations that do not relate to agency business.

(3) Diaries, journals, or other personal notes that are not prepared or received in the process of transacting Government business.

b. When information about private matters and agency business appears in the same document, the document shall be copied at the time of receipt, with the personal information deleted, and treated as a Federal record.

c. Materials labeled "personal", "confidential", or "private", and used in the transaction of public business are Federal records subject to the provisions of pertinent laws and regulations.

d. The definition of records excludes "extra copies of documents preserved only for convenience of reference". A Government official may accumulate, for convenience of reference, extra copies of papers and other materials that he or she has drafted, reviewed, or otherwise acted upon. Government officials may be permitted to retain these extra copies, provided that retention would not:

(1) Diminish the official records of the agency.

(2) Violate confidentiality required by national security (DoD 5200.1-R, Information Security Program Regulation), privacy (DLAR 5400.21, Personal Privacy and Rights of Individuals Regarding Their Personal Records, and DLAR

5400.14, DLA Freedom of Information Act Program), or other interests protected by law.

(3) Exceed normal administrative economies.

4. Requirements

a. Records Management Surveys. Records management officers will conduct surveys of the records management practices of each geographically collocated office under their cognizance at least once every two years. The surveys shall assess compliance with this instruction, potential improvements in administrative methods and systems, and compliance with the restrictions and standards on maintaining systems of records under the Privacy Act of 1974, DLAR 5400.21, Personal Privacy and Rights of Individuals Regarding Their Personal Records, and DLAH 5400.1, DLA Systems of Records Handbook. These surveys shall include periodic monitoring of staff determination of the record status of documentary materials. A written summary of the survey findings and recommendations will be provided to the office concerned for appropriate actions. Follow-up surveys will be performed when the initial survey indicates substantive deficiencies.

(1) When necessary for effective program administration, records management officers may require biennial surveys by records management coordinators assigned to geographically separated staff elements and subordinate activities. The records management officer will specify the form and content of such surveys and be provided a copy of each completed survey for management review.

(2) Records management officers may establish alternative methods for staff oversight of geographically separated staff elements and subordinate activities. Examples of such methods include incorporating survey requirements in an established program for management review or using a series of management indicators such as reviews of files plans and records retirements, correspondence and mail sampling, clerical and administrative training, and other indicators for the purposes of program evaluation.

(3) Records management officers will perform staff assistance visits to assess and report required actions in geographically separated elements and subordinate activities on evidence of substantive or continuing program deficiencies. Visits may be scheduled for other reasons at the discretion of the records management officer.

b. Records Requirements Analysis. DLA records disposition standards are based on demonstrable uses of information including uses in prescribed mission activities and work processes, uses for purposes of law and essential internal controls, and uses for the historical purposes of the Government. A continuing analysis of operational requirements is essential to maintain records disposition standards that can be readily applied for the prompt disposition of mission and program records with no continuing value. Records management officers will participate in the process of formulating standards by:

(1) Develop recommendations for changes and additions to records disposition standards under the procedures described in this instruction.

(2) Conducting and/or participating in work center studies and analyses as directed.

c. Training. Records management training is required for DLA HQ records management coordinators and PLFA records management officers (RMOs) to ensure the initial development of all newly assigned personnel and all incumbent personnel with regard to their records management responsibilities. Whenever possible, Governmental sources should be used for training. However, it may be appropriate and cost-effective to use non-Government educational institutions to satisfy particular training needs. DASC-DD will provide assistance identifying responsive training, as necessary. Training requirements are outlined below:

(1) Newly assigned personnel with records retirement responsibilities must complete training in files improvement and utilizing Federal Records Centers (FRCs) within six months of their assignment. These requirements may be met by attending files improvement and records disposition workshops sponsored by the regional FRC. The FRC usually provides course announcements to the activities they service. The workshops cover such topics as methods and practices of files improvement, evaluating records maintenance programs, preparing records for transfer to FRC, and retiring and recalling records from FRCs.

(2) Incumbent personnel with centralized office records management responsibilities must complete the following training within two years:

(a) Records Disposition. Course content should cover such topics as the importance of records disposition as part of records management and information resources management, how to manage a records disposition program, and how to evaluate records for disposition.

(b) Developing Records Schedules. Subject matter should cover how to properly describe records, proper wording of disposition instructions, inventorying records, and developing and implementing records schedules.

(c) Electronic Recordkeeping. The course subject matter should cover proper design of electronic recordkeeping systems (to include indexing systems), how to maintain electronic records, and scheduling electronic records.

(3) Section 1222.20(9) of reference A3 requires that all DLA employees be reminded annually of agency recordkeeping policies and of the sanctions provided for the unlawful removal or destruction of Federal records.

5. Records Planning

a. Purpose. Planning the proper organizational location of records is the first step in the effective maintenance of records. This will:

(1) Reduce the overall volume of records by preventing unnecessary duplication.

(2) Increase the accessibility of records.

(3) Conserve records storage space.

(4) Aid disposition of records.

(5) Minimize the need for records management personnel, equipment, and supplies.

(6) Simplify correspondence practices by reducing the number of copies prepared.

Records are created and maintained to serve as administrative tools. As a general rule, maintain records close to the organizational element of the activity that uses it most frequently. However, a few records of an activity may be of activity-wide interest and use. These records are frequently maintained in a "central records unit" or other central administrative organization. The Official Personnel Files (OPF) maintained by Civilian Personnel (CPO) offices are examples of centralized records.

b. Offices of Record

(1) Establishing Offices of Record. Establish offices of record at organizational levels where effective documentation of assigned functions and responsibilities can be assured. The office of record is responsible for the custody and maintenance of the permanent and temporary current records of the offices it serves.

(2) Determining Factors for Locating Offices of Record

(a) Locate the office of record so offices and action officers served do not need to keep duplicate records (convenience copies). Offices served by an office of record are prohibited from maintaining duplicate records. ("Reading Files", as described in 110.13, enclosure 1, are a separate series of records and not considered duplicate "Correspondence Files".)

(b) Locate the office of record at the point of greatest activity for convenience of the users. When the records of an organizational element are normally used by that element, appoint it the office of record.

(c) Avoid centralizing the records of unrelated organizations in one office of record. The maintenance of records by the activity primarily concerned with the subject matter makes records more useful, improves documentation of functions, and makes the disposition of the records easier.

6. Records System

a. General. The DLA Records System provides a system for classifying and organizing records for filing, reference, and eventual disposition on an orderly and systematic basis.

b. System Concept

(1) The responsibility for documentation of a work function rests primarily with the office performing that function. The documentation produced is organized and maintained according to the function to which it relates. In some instances, a single document can represent functions in more than one major DLA mission area. For example, a copy of a contract is maintained by a contracting officer to document a procurement function and would be associated with record series 811.50A, Contract Files. The copy maintained by the office administering the contract documents a contract management function and would be associated with record series 831.05A(1), Contracts. An individual office performing COTR responsibilities relating to contract oversight and acceptance of goods and services would associate their contract copy to 110.73, Contracting Officer's Technical Representative (COTR) Files.

(2) A functional records system does not prevent the division of individual records series by topic or subject to make filing and reference easier. For example, a record series relating to organization and functions management performed at HQ DLA but relating to DLA field activities might be subdivided and filed alphabetically by the names of such activities.

c. Records Filing Arrangement

(1) Basic Record Filing Arrangement. The basic filing arrangement is numeric based on record series number. Typical secondary arrangements may be alphabetic by name of an individual organization, geographic location, or name of a subject or project; or numeric used to subdivide records that are normally identified and referred to by number (such as contracts, bills of lading, and vouchers) or by date (such as correspondence and reading files).

(2) Terminal Digit Arrangement. Terminal digit arrangement is a secondary method of filing records in numeric order by final digits, with groups of digits to be read from right to left. Under this method, case files are arranged first by the final two digits, then by the second two digits (reading from the right), and finally by the third two digits (reading from the right). These two-digit groups are known as the primary, secondary, and tertiary groups. The primary digit group (the group on the far right) determines the general filing location. The secondary group determines the specific division of the primary group to which the record belongs. The tertiary group contains the remaining digits of the document number and is used for consecutive numeric filing within the secondary groups. This arrangement can accommodate a million items and applies especially to records that annually exceed several thousand folders, card records, or individually numbered documents, and have a high reference rate. Figure 1 shows case folders arranged in terminal digit order. Figure 1--FOLDERS IN TERMINAL DIGIT ORDER (Please see enclosure 6, FIGURES at the end of document.)

d. Organization of the System. The DLA Records System is organized into the following functional areas:

Number/Functional Area

- COMMON RECORDS
- 110 Common Records
 - COMMAND
- 115 Command
 - STAFF SUPPORT
- 120 Congressional Liaison
- 125 Command Chaplain
- 130 Small Business
- 135 Historical Program
- 140 Equal Employment Opportunity
- 150 Security
- 160 Safety and Health
- 170 Legal Services
- 180 Internal Review
- 190 Public Affairs
- PLANNING AND RESOURCE MANAGEMENT
- 212 Management and Budget
- 214 Plans and Programs
- 216 Logistics Systems
- 220 International Programs
 - TELECOMMUNICATIONS AND INFORMATION SYSTEMS
- 280 Telecommunications and Information System
 - PERSONNEL
- 310 Military Personnel
- 330 Career Development
- 350 Classification and Pay Administration
- 370 Staffing
- 375 Employee Relations
- 390 Technical Services
 - FINANCE
- 400 Finance
- 420 Funds Accounting
- 430 Disbursement, Reimbursement, Collections, and Adjustments
- 440 Cost Accounting
- 450 Financial Inventory Accounting (FIA)
- 460 Audits, Reviews, and Surveys
- 470 Surety
- 490 Non-appropriated Funds (NAF)
 - INSTALLATION SERVICES
- 510 Administrative Services
- 513 Defense Automated Printing Service (DAPS)
- 515 Visual Information (VI)
- 520 Operating Equipment
- 530 Base Supply
- 540 Facilities Engineering
 - DEFENSE REUTILIZATION AND MARKETING
- 610 Property Management
- 620 Small Arms Serialization
- 630 Reutilization and Distribution
- 640 Operations
- 650 Marketing
- 660 Environmentally Regulated Property
 - TECHNICAL OPERATIONS AND SERVICES
- 710 Value Engineering and Standardization
- 720 Technical Services
- 730 Logistics Data

- 750 Defense Logistics Services
 - QUALITY ASSURANCE
- 773 Contract Management Quality
- 775 Contracting Quality
- 777 Depot Quality
 - CONTRACTING
- 810 Contracting and Production
 - CONTRACT MANAGEMENT
- 830 Contract Management
 - PROGRAM AND TECHNICAL SUPPORT
- 890 Program and Technical Support
 - SUPPLY OPERATIONS
- 910 Logistics Programs
- 920 Inventory Management
 - 930 Stock Control Distribution
- 940 Distribution
 - INDUSTRIAL PLANT EQUIPMENT
- 950 Industrial Plant Equipment
 - DEFENSE NATIONAL STOCKPILE
- 960 Storage Facility Program
- 970 Defense Materials and Equipment
- 984 Disposal Program
 - MANUFACTURING
- 990 Manufacturing
 - FUELS
- 995 Alternative Fuels

e. Selecting Record Series Numbers. When establishing your files, select record series numbers from the functional area appropriate for your mission records and from the functional area 110, Common Records. Do not use record series numbers from other mission areas unless your office serves as the Office of Primary Interest (OPI) for the function.

(1) Mission Records. Mission records show the primary functions and responsibilities of an office or activity. Within each of the functional areas, there are usually three different types of records.

(a) Program and Project Records. The record series number XXX.01 is appropriate for documenting program initiatives within the functional area and nonrecurring mission projects of the office. Establish these as case files.

(b) Correspondence Records. The record series number XXX.02 is appropriate to use for documents with general applicability, nonrecurring reports, special inquiries, and other miscellaneous records pertaining to the office's mission (for non-mission correspondence, see 110.37). Arrange these records by subject.

(c) Mission Records. The balance of the record series numbers within an office's functional area are appropriate to use for the recurring business operations of the office. Establish these records in the manner best suited for rapid retrieval.

(2) Common Records. Common records deal with the administrative, or non-mission, functions of an office. They include records such as supervisory personnel records, time and attendance records, classified receipts, and similar documents maintained for convenience or under specific requirements of DLA regulations.

(3) Under the functional system an office of record will use only a few of the many record series numbers in the DLA system. For example, DLA offices with a supply operations mission will review the record series numbers found in the 905.00, 910.00, 920.00, and 930.00 sections of enclosure 1 to select the proper subgroups for their mission records. The record series numbers in 110.00, Common Records, will be used for non-mission records.

f. Addition of Record Series Numbers. Numerous gaps are intentionally left between numbers assigned to secondary and tertiary functions and between sequence numbers to permit future expansion of the system. Do NOT add additional numbers locally, but submit recommendations for changes or additions to DASC-DD. All new record series numbers will be added only as published changes to this instruction.

g. Files Outline. Prepare a Files Outline, and list the record series numbers used to maintain the records within the office of record. Keep the outline current, prepare an updated version annually, and keep in a location where it is readily available for reference.

7. Records Maintenance Procedures

a. Processing Paper Records for Files

(1) Inspection of Papers. Review papers for completeness and to eliminate unnecessary material.

(a) Completeness

[1] Check for basic papers, comments, enclosures, and other papers necessary to complete the record.

[2] Locate missing papers when possible. Last action office is a probable source.

[3] When missing papers cannot be located, include a note with explanation.

(b) Unnecessary Material. Discard unnecessary documents such as used envelopes, routing slips, unused drafts, and duplicate copies. Exception: File duplicate copies when coordination, concurrences, or other important information essential to the file appear on the copy.

(2) Assembly of Papers. Arrange file copies as indicated below.

(a) Separate Correspondence. A separate "chain" of correspondence consists of the basic papers (paper starting the action), any replies continuing the action, enclosures, and supporting papers forming a part of the whole correspondence action. Assemble such papers in the following top to bottom order:

[1] Copy of the latest actions or response.

[2] Copy of basic paper.

[3] Copies of attachments or enclosures in numerical order.

[4] Internal supporting papers.

(b) Related Papers. These are papers that are directly related or contain a reference to earlier papers on the same subject or transaction.

[1] When to Combine Related Papers. Combine papers of a later date that are directly related to or refer to papers of an earlier date only when reference requirements clearly dictate this action. Combine the following papers to assure complete documentation and to avoid split files: replies with the basic communication, changes in a policy or procedure with the policy or procedure that is changed, and all papers regarding one individual, e.g., military or civilian personnel record, one contract, etc. These are commonly known as "case files."

[2] When Not to Combine Related Papers. A reference in later papers to earlier papers does not necessarily require that the papers be combined. Do not combine: recurring reports with the policy document requiring the report, applications with the policy document governing submission of the application, papers on the same subject relating to different transactions such as two separate requisitions for filing supplies or reports of inspection of two different organizations or activities.

[3] Combining Papers Dated in Different Years. When current papers are clearly related to papers in a file from a previous year, i.e., cutoff file,

they should be combined. Remove the earlier related papers from the cutoff file and bring forward to the current file.

[4] How to Assemble and Combine Related Papers. Assemble related papers separately as described in subparagraph 7a(2)(a), staple the papers together, place them on top of the earlier case, and place in file according to the date of the latest action. Withdraw and update any cross-references made to earlier papers or make a new cross-reference to file under the date the earlier papers were filed. See paragraph (6) below for cross-referencing methods.)

(3) Fastening. Use the fasteners described below to hold assembled papers together. Do not use straight pins, paper clips, and rubber bands to fasten papers that are filed. (File a single set of assembled papers loose within the proper folder. Fasten together all papers within a folder only when the entire contents make up a single case or when it is necessary to preserve a fixed arrangement so the files can be used more easily.)

(a) Staples. Use wire staples to the maximum extent to fasten related loose papers together. They are inexpensive, easy to apply and remove, cause little damage to file material, and can hold a fairly large number of papers. Staple in the upper left corner to make filing and searching within a folder easier.

(b) Prong Fasteners. Use prong fasteners to fasten related file material together only when the material is too thick to use wire staples. Avoid the routine use of compressors. Instead bend the prongs of the fastener toward the edges of the file; this will usually hold the papers adequately.

(4) Records Classification. Determine the proper record series numbers for documents by referring to paragraph 6e and enclosure 1.

(5) Posting Record Series Numbers

(a) Write the record series number on a document when it is processed for file in the upper right hand corner or along the right hand margin of the record. Exception: It is unnecessary to post the record series number when the physical characteristics of a document make it self-identifying for filing purposes. Reference copies of publications, mail control forms, bills of lading, and documents appropriate only for filing in a specific type of case file such as a personnel records jacket are examples of documents that do not require the posting of a record series number.

(b) When the file material under a single record series number is subdivided into several folders with different subjects, write a brief identification of the subject immediately after the record series number.

(c) When cross-references are necessary, indicate this under and indented to the right of the record series number. Precede the cross-reference by an "X" to distinguish it from the record series number and to show it is a cross-reference.

(6) Cross-References

(a) A cross-reference is a paper filed under one record series number and date to show the location of material filed elsewhere. Prepare cross-references only when essential to finding needs.

(b) Use an extra copy of a paper for the cross-reference. Write the original record series number on it and file under the cross-reference number. Otherwise use Optional Form 21, Cross-Reference.

b. Labels. Label file containers, guides, file folders, floppy disks, tapes, etc. appropriately to facilitate records maintenance, utilization, and disposition. Label by the most efficient means for each office. Automation of the process is a preferred option in offices possessing the capability and where automation is feasible.

(1) Record Containers. Label file drawers, disks, or other physical containers to indicate the contents. As a minimum, include the record series and year (when appropriate) of the items in the container. Exception: It is not

necessary to label record containers when marking such would mar the finish such as in certain modular furniture containers.

(2) Guides. Arrange file guides in a uniform position. Place a guide at the beginning of each new record series number. Guides should contain the record series number, title, and the full disposition standard that applies to the record. Take care to prepare these guides so errors do not cause unauthorized disposal of records. Offset additional guides to show subdivisions when the volume of material filed behind a record series number warrants. (See Figure 2.) Figure 2--SAMPLE - FILES ARRANGEMENT (Please see enclosure 6, FIGURES at the end of the document.)

(3) Abbreviations. Use the following abbreviations in labeling:

CFA -Current Files Area
COFF -Cutoff Dest -Destroy
FRC -Federal Records Center
FOUO -For Official Use Only
NPRC -National Personnel Records Center
PIF -Place in inactive file Perm -Permanent
PVA -Privacy Act Ret -Retire
RHA -Records Holding Area
TRF -Transfer
WNRC -Washington National Records Center

In addition, use other easily understood abbreviations on labels.

(4) File Folders. File folders are used to keep paper records relating to the same subject together, to provide a guide to those papers, and to protect the papers. When the material in any folder reaches the normal capacity (three-fourths of an inch) of the folder, prepare a second folder. Begin the second folder at a logical point, such as at the beginning of a month or calendar quarter.

(a) File Folder Labels. Show the record series number, title, year of the file (when applicable) on file folder labels. (The general disposition instructions that apply to the records are included on the guide preceding each record series number.) Figure 3 illustrates proper labeling for the file folders in each series.

Figure 3--SAMPLE FILE GUIDE AND FOLDERS (Please see enclosure 6, FIGURES at the end of the document.)

(b) Exceptions to Complete Labeling. Record series numbers may be omitted from individual folders when a subdivided record series comprises one or more file drawers and the folders or documents are of a distinctive type or bear a distinctive identification (e.g., the name on a personnel records jacket or financial data records folder, the name of a contractor and/or contract number, or a voucher number.) In these cases, identify the record series with labeling information at the beginning of the record series (subparagraph a above).

c. Records Security(1) Security Classified. File security classified records in separate approved security containers from unclassified records according to DLAR 5200.12, DLA Information Security Program. Exception: When the record of an action or transaction consists of both classified and unclassified documents and it is essential for reference purposes that both be filed together, they may be inter-filed in a security container. Restrict the inter-filing of unclassified and classified records to those that directly support, explain, or document the record of the action or transaction. Maintaining unclassified records in security containers is authorized when a small volume of classified material is on hand and it is advantageous to use the otherwise empty space of the security container. However, under these circumstances, maintain the unclassified material separately from the classified material.

(2) Security Unclassified. Safeguard and dispose of information, that is considered as being For Official Use Only (FOUO) according to the rules of DLAR 5400.14, DLA Freedom of Information Act Program. Records subject to the Privacy

Act of 1974 should be safeguarded according to the rules of DLAR 5400.21, Personal Privacy and Rights of Individuals Regarding Their Personal Records.

d. Filing Bulky Material. File bulky material, such as large exhibits, manuscripts, oversized charts and drawings, and similar items in storage equipment suited to its size. Label the material to include the record storage location, classification, and other identifying information. Annotate the files outline with the location of this material.

e. Electronic Records. Electronic records include numeric, graphic, and text information, which may be recorded on any medium capable of being read and processed by a computer and that satisfy the legal definition of a record. (See definition of "record" in enclosure 5) This includes, but is not limited to, magnetic media, such as tapes and disks, and optical disks. Electronic records may include data files and data bases, indexes, word processing files, electronic spreadsheets, electronic mail and messages, as well as other text or numeric information. This section applies to electronic records created on personal computers, multi-user small computers, word processors, or other electronic office equipment.

(1) Disposition of Electronic Records. Either the hard copy or the electronic copy must be retained as a record, but there is no requirement to retain both. Determine whether the information stored electronically is an official record (will replace paper files) or is nonrecord information.

(a) Record Copy - Paper. When an electronic file is used to produce paper maintained in official files (i.e., the paper copy is the record copy), delete the computer files/documents that created the paper when no longer needed to create a hard copy, regardless of the authorized disposition of the paper. Maintain an electronic copy of documents periodically revised and reissued (e.g., procedures manuals, directives, standard paragraphs, and spreadsheet models) to prevent re-keying. Maintain the paper records in accordance with enclosure 1 of this instruction.

(b) Record Copy - Electronic. When the electronic file is the record copy (e.g., when an office is "paperless"), disposition authorities in this instruction apply. When a record is disposable in two years maintain it for only two years on a computer disk. Maintain temporary records created on on-line systems on floppy disk, tape, electronic records management systems or other storage media to prevent premature destruction of the record. Maintain in a suitable environment for the media.

(2) Minimum Requirements for Official Records Maintained Electronically. Observe the following minimum requirements when the official record copy of documents are maintained electronically:

(a) Provide a method for all authorized users of the system to retrieve desired documents, such as an indexing or text search system.

(b) Provide an appropriate level of security to ensure integrity of the documents.

(c) Provide a standard interchange format (American Standard Code for Information Interchange (ASCII)) to permit the exchange of documents on electronic media between DLA and DoD components using different software/operating systems and the conversion of documents from one system or software to another.

(d) Provide for the disposition of the documents including, when necessary, the requirements for transferring permanent records to the National Archives.

(3) Labeling and Indexing Electronic Records. Records are valuable only if they can be found when needed for action or reference. Certain basic records management principles apply to any record, whether in a file cabinet or on a computer disk. Follow proper labeling and/or indexing actions to ensure that electronic records are available and accessible throughout their useful life. However, do not index and retrieve by personal identifier information about

individuals without first meeting the requirements of DLAR 5400.21. The extent of a formal, office-wide system for filing, labeling, and naming electronic records depends on how the information is used. When records are maintained solely in electronic form a formal system is mandatory. A formal system is otherwise advantageous when there is a high turnover of personnel, or when information is shared or routed electronically. However, when information is shared on paper, minimal identifying information should be sufficient.

(a) External Labels. Label disks adequately so they can be used by others in the office in the regular user's absence. When the electronic file is the record copy, include the same information described in paragraph B7b above. Also include information needed to use the disk, such as software identification (e.g., Word Perfect, Harvard Graphics, etc.). When a variety of equipment exists, also list the equipment used to produce the record. Label disks or disk jackets containing For Official Use Only (FOUO) information with DLA Label 1804, For Official Use Only Sticker, according to DLAR 5400.14.

Figure 4--ELECTRONIC FILE LABELS (Please see enclosure 6, FIGURES at the end of the document.)

(b) Records Arrangement. To simplify "filing" for record copy electronic files, arrange information on disks similar to the way paper records are arranged. "File" like documents on one floppy or more per record series number. Treat each disk as a "file number" or a "file drawer". For example, a disk labeled with DLA record series number 110.40 and entitled Office Studies and Analyses would only contain documents suitable for filing within that category. This will simplify the disposition process since these records would share the same or similar disposal dates.

(c) Internal Labels. These are document names that describe the documents stored electronically and are essential for retrieval of information from within disks. Use standard internal document names or labels that are accurate and easily understandable to others. When required for retrieval, print the hard copy of the index and store with the office file plan or near the disks.

(d) Indexes and Data Bases. For an extensive number of electronic records, use indexes or data bases to find electronic documents on disk. An electronic index or data base locates records based on certain characteristics of a particular record such as date, subject, sender, receiver, and number. They can be developed for information stored on disks although properly labeled disks may be considered self-indexing when the number is not excessive. Base the complexity of the indexing system on the volume of records, retention time, and familiarity of the persons using the index with the records. Print the hard copy of the index and store with the office file plan or near the disks.

(4) Storing Records on Floppy Disks. Store only temporary records on floppy disks. Due to the shortlife expectancy of a floppy disk, it is not feasible to maintain records with a disposition of greater than 5 years on this medium. When determining whether floppy disks are appropriate for storage of records, consider the primary disadvantages of this form of records maintenance:

(a) The record can be easily altered and go unnoticed.

(b) Records can be accidentally destroyed very easily.

(c) The special equipment (hardware and software) used to create the record must be maintained in working order for the life of the record. (See subparagraph 7e(2).)

(d) Records are easy to retrieve only when properly indexed and labeled, both internally and externally.

(5) Maintenance of Floppy Disks

(a) Store disks vertically in protective envelopes, preferably in a hard plastic container with support to avoid warping.

(b) Keep floppy disks clean and dust free. Oil from hands, food, drink, fine dust particles, and smoke can contaminate disks. Do not touch the surface area around the hub or slotted areas.

(c) Do not flex, fold, bend, or attach paper clips or rubber bands to disks.

(d) Write on labels before applying them. When already attached, write only with a soft, fiber tipped pen. Never erase labels on disks; either cross out information or remove and replace the label. Do not place one label over another.

(e) Keep disks away from magnets such as bar magnets, coat and picture hanger magnets, flashlight magnets, and magnetized screwdrivers. Most electric motors contain magnets or magnetic fields so keep disks away from vacuum cleaners, heaters, fans, office telephones and telephone receivers, or any equipment that may have a strong magnetic field.

(f) Discontinue using worn disks. Copy information to a new disk and destroy the worn disk.

(6) Optical Disk and Other Electronic Storage Media

(a) Optical Disks. The CD-ROM medium is acceptable for the transfer of permanent electronic records the National Archives under the following conditions:

[1] It is in conformance to the International Standards Organization (ISO) 9660 standard.

[2] It is in compliance with the American Standard Code for Information Interchange (ASCII) standard as defined in the Federal Information processing Standard 1-2 (11/14/84).

[3] It is not dependent on control characters or codes that are not defined in the ASCII character set.

[4] It is not compressed unless the software to decompress the files is provided.

[5] It is individually addressable.

[6] It is in compliance with the documentation requirements of 36 CFR 1228.188.

(b) When permanent electronic records that are disseminated on CD-ROM exist on other media such as magnetic tape, NARA and DLA will mutually agree on the most appropriate medium for transfer of the records to the National Archives.

(c) Nonpermanent records may be stored on optical disk providing that the information is maintained until its authorized disposal.

(d) Videodiscs. Analog videodiscs that typically contain photographs are one type optical disk that can be retired, provided that they do not require any interactive software or non-standardized equipment. Original photographs scheduled for permanent retention and copied onto a videodisc must be retired along with a copy of the videodisc.

f. Audiovisual Records. Audiovisual (AV) records include still and motion picture photography, graphic materials, and sound and video recordings.

(1) Storage Conditions. Audiovisual records are extremely vulnerable to damage and should be handled carefully and protected from harmful conditions. Observe the following physical storage conditions:

(a) Maintain temperatures not to exceed 70 degrees F.

(b) Maintain relative humidity in the range of 40-60 percent.

(c) Avoid fluctuating temperatures and humidities.

(d) Provide cooler temperatures and lower relative humidities for storage of color films.

(2) Storage Containers

(a) Store permanent or unscheduled records in audiovisual storage containers or enclosures made of non-corroding metal, inert plastics, paper

products and other safe materials recommended and specified in American National Standards Institute (ANSI) standards.

(b) Maintain originals separately and use copies (e.g., negatives and prints), whenever practicable.

(3) Maintenance and Operations

(a) Handle audiovisual records in accordance with commonly accepted industry practices.

(b) Maintain continuous custody of permanent or unscheduled audiovisual records.

(c) Take steps to prevent accidental or deliberate alteration or erasure of audiovisual records.

(d) Do not erase information recorded on permanent or unscheduled magnetic sound or video media.

(e) When different versions of audiovisual productions (e.g., short and long versions or foreign-language versions) are prepared, keep an unaltered copy of each version for record purposes.

(f) Maintain finding aids (such as captions and published and unpublished catalogs) for life of related audiovisual records.

(4) Formats

(a) Still Photography. Use photographic materials composed of cellulose triacetate or polyester base for still picture negatives and motion picture preprints of permanent or unscheduled records. (ANSI/ASC PH1.28-1984 or PH1.41-1984)

(b) Motion Pictures. Do not use motion pictures in a final "A and B" format (two precisely matched reels designed to be printed together) for the reproduction of excerpts or stock footage.

(c) Video Tapes. Use only industrial or professional format video tapes (e.g., 1-inch, 3/4-inch) for record copies of permanent or unscheduled recordings. Limit the use of consumer formats (e.g., VHS, Beta) to distribution or reference copies or to subjects scheduled for disposal.

(d) Audio Recordings. Record permanent or unscheduled audio recordings on 1/4-inch open-reel tapes at 3 3/4 or 7 1/2 inches per second, full track, using professional unrecorded polyester splice-free tape stock. Audio cassettes are not sufficiently durable to be used for permanent records.

(5) Disposition. Maintain audiovisual records in accordance with enclosure 1 of this instruction.

g. Facsimile Records. Facsimile (fax) transmissions are Federal records when (1) they are received in connection with agency business and (2) they are appropriate for preservation as evidence of agency organization and activities or because of the value of the information they contain.

(1) Format. Facsimile transmissions are made on thermal or plain paper. Thermal paper is much less stable than plain paper. Thermal paper can be recognized by its smooth sheen and tendency to curl. It is sensitive to heat and light, will react with chemicals found in ordinary office environments (including markers, cosmetics, and some types of plastic folders), and may contain impermanent dyes. The images on thermal paper may begin to deteriorate in as few as six months. Include a statement on fax message leaders (cover sheets, headers, and boxed notes) to replace thermal paper facsimiles that are records with a plain paper copy. A sample advisory is: "WARNING: Some fax machines produce copies on thermal paper. The image produced is highly unstable and will deteriorate significantly within a few years. It should be copied on plain paper prior to filing as a record."

(2) Maintenance

(a) Thermal Paper. Reproduce all thermal paper facsimiles that are Federal records at the time of receipt, except in the case of transitory documents that do not need to be filed.

[1] Do not reproduce faxed advance copies on which no administrative action is taken. These are non-record materials and may be destroyed immediately upon receipt of the original document.

[2] When administrative action is taken, i.e., the receiving office intends to circulate the advance copy for official purposes such as approval, comment, action, recommendation, or follow-up, the advance copy is a Federal record and should be reproduced.

(b) Plain Paper. File plain paper copies of faxes that are Federal records in accordance with enclosure 1 of this instruction.

8. Record Maintenance Equipment

a. General. Record maintenance equipment includes all files containers, machines, computers, devices, and furniture used for maintaining and servicing records. It does not include fiberboard boxes, pallets, racks, and shelving used for storing records in records holding areas.

b. Records Maintenance Equipment Conservation and Reutilization

(1) Use reconditioned or used equipment in good working condition when available rather than ordering new equipment.

(2) When possible, recycle unneeded equipment to fill requirements of other activities in the same headquarters or activity. When no requirements exist, turn in excess equipment to supply channels for redistribution or disposition.

(3) Retire or destroy non-current records on a regular basis to prevent excess equipment requirements. Eliminate all unnecessary and duplicate records and file material. Retire records not required for daily business to records holding areas, records centers, or destroy them according to instructions in paragraph 11e of this enclosure and enclosure 1.

(4) Monitor use of records maintenance equipment. Do not maintain equipment solely for storage of nonrecord materials. However, blank forms, publications, and office supplies may be kept in filing cabinets to use otherwise empty drawers.

c. Filing Cabinet Requisitions. Use the criteria in the following subparagraphs as a guide to the ordering and use of filing cabinets. Also use as a guide in determining proper usage of other types of records maintenance equipment. These criteria are not intended to require replacement of equipment now in use.

(1) Use letter-size cabinets to the maximum extent practicable for maintaining letter size file material.

(2) Avoid legal-size cabinets whenever possible. Before ordering a legal-size cabinet through supply channels, get an endorsement from the records management officer following the procedures in paragraph VIIIE below.

(3) Use security filing cabinets only for classified materials except as provided in paragraph 7c of this enclosure.

(4) Use key lock cabinets only when regulations such as DLARs 5400.14 and 5400.21 require the material to be maintained under lock and key.

(5) Use filing cabinets only for current filing needs. Do not maintain records eligible for destruction in file cabinets.

(6) When ordering a filing cabinet, request a 5-drawer cabinet, that is standard; however, supply officers may substitute 4-drawer cabinets when they are available. Do not order 5-drawer cabinets solely to replace other types of cabinets now in use or on hand.

d. Standard Equipment

(1) General Services Agency (GSA) Stock Program non-legal size filing cabinets are considered standard.

(2) Review and evaluate all additional requirements for standard records maintenance equipment. Verify space in filing cabinets, security containers,

shelf files, and other records maintenance equipment is fully and properly utilized in accordance with paragraph 8b above.

e. Nonstandard Equipment. Submit requests for nonstandard records maintenance equipment to the local records management officer who will review the records and records maintenance operations prior to recommending supply action. Records management officer review should include the following factors:

- (1) The type of record, its disposition instructions, current media, and the present equipment and its condition.
- (2) Basic records maintenance operations, such as filing, posting, searching, indexing, or other operations that are involved.
- (3) Total work-hours required daily for the operations using present equipment, and the total work-hours required daily using proposed equipment.
- (4) Estimated annual net increase in volume.
- (5) Maximum capacity of present and proposed equipment.
- (6) Accessories, such as stands, covers, compressors, or locks, necessary for the operation of the proposed equipment.
- (7) Unit and total cost of the proposed equipment.
- (8) Disposition to be made of present equipment.
- (9) Comparison of the equipment of two or more manufacturers that generally meet the requirements of the records maintenance operation involved.
- (10) Other factors considered necessary to assure selection of the most efficient and economical equipment.

f. Modular/Systems Furniture. When replacing traditional office furniture with modular or systems furniture, select furniture compatible with office recordkeeping and retirement requirements. The records maintenance equipment associated with the modular or systems furniture may require the use of nonstandard file folders available only from a single manufacturer and which may not fit in standard records retirement boxes. Correction after the fact is labor-intensive and time consuming.

9. Records Maintenance Supplies

a. General. Records maintenance supplies include all folders, guides, fasteners, labels, binders, label holders, floppy disks, CD ROM disks, video disks, microfiche envelopes, microform enclosures such as reel containers, and other related supplies used to maintain and service records.

b. Conservation. Reuse folders, guides, and disks after records are destroyed whenever practicable. To avoid costly replacements, hanging files and similar nonstandard supplies should routinely be reused until no longer serviceable. These nonstandard supplies are not appropriate for retirement due to cost of replacement and size restrictions of records retirement boxes.

c. Standard Supplies. Use the records maintenance supplies described below to maintain letter-size paper records, unless otherwise prescribed by regulations or approved for use under provisions of paragraph IXD below.

(1) Folders

(a) Folder, manila, lightweight (9.5 point) stock. Plain bottom, scored for 3/4 inch expansion. Non-reinforced, straight cut self tab, 1/3 scored. (Use for records with low reference rates.) National Stock Number (NSN): 7530-00-291-0098

(b) Folder, kraft, medium weight (11 point) stock. Plain bottom, scored for 3/4 inch expansion. Reinforced, straight cut self tab, 1/3 scored. (Use for records with high reference rates.) NSN: 7530-00-663-0031

(2) Guides. Card, guide, file, pressboard, green, unprinted, self-tab, 1/3 cut, 1st, 2d, or 3d positions, without lower projection, 9 1/2 by 11 3/4 inches.

(a) 1st or 3d Position NSN: 7530-00-988-6515

(b) 2d Position NSN: 7530-00-988-6516(3) Labels. Select and use a white pressure-sensitive label in a style best suited to an individual office. Label color no longer has a functional significance. For file folder labels prepared by conventional means, use NSN: 7530-00-577-4376.

d. Nonstandard Supplies. Submit requests for nonstandard records maintenance supplies with justification through the local records management officer for approval prior to initiating supply action.

e. Forms. Use the following forms for records maintenance and reference operations:

- (1) Optional Form 11, Reference Request-Federal Records Centers.
- (2) Optional Form 21, Cross-Reference.
- (3) Optional Form 23, Chargeout Record.
- (4) Optional Form 24, Shelf File Chargeout Record (Letter Size).
- (5) DLA Form 114, Request For and/or Charge-Out of Records.

10. Records Reference Procedures

a. General. The effectiveness of any file or file room operation can be judged in large measure by the speed and accuracy with which requested records or information can be found and furnished. To the maximum extent practicable, only personnel trained in records maintenance/management responsibilities should store and withdraw records. This saves time, limits misfiled records, and provides control over the records.

b. Submission of Request. In order to locate and chargeout the requested material, get the following information from the requestor:

- (1) Subject or other description of material, and record series classification, when known.
- (2) Name of writer (organization or individual).
- (3) Date of record (specific or approximate).
- (4) Requestor's name, organization, location, telephone number, and the date.

c. Chargeout Procedures. Prepare a chargeout record and substitute for all records removed. Use information entered on the chargeout record to locate records that are removed and to hold the proper position in the file until the records are re-filed. Normally, chargeout only the required records (the folder itself and any other documents remain in the file). However, in "case" type filing where documents are attached to the folder (e.g., official personnel folders), chargeout the entire file. (When it is necessary to file records in a file that has been charged out, temporarily file the records and the chargeout record in an unlabeled file.)

(1) Unclassified Records, Letter-Size Equipment. Use one of the following methods to chargeout unclassified material filed in letter-size equipment.

(a) Optional Form 23. Use this card-type form to chargeout records for use within the office maintaining the file. Replace the withdrawn file with the card with the word "OUT" visible. When charged out records are re-filed, line out the entries on the form and reuse it. Periodically check chargeout cards in the file to make sure file material is not kept out of the file for excessively long periods. (Note: Use Optional Form 24 to chargeout records from shelf files.)

(b) DLA Form 114. Use this form to chargeout records for use outside the office maintaining the record. Hand write entries on this form as a rule. This form may be used as a combination written request and chargeout, or to record and fill verbal requests for records. Attach the top sheet (original) to the charged-out record to serve as a cover sheet and to identify the office to return the record to. Retain the second sheet (first carbon copy) in the file area and file in a follow-up or suspense file. Place the bottom sheet (second

carbon copy on card stock) vertically in the filing position from which the record material is removed.

(c) Suspense and Follow-up. Initiate a suspense and follow-up procedure to provide control over records loaned outside the file area. Establish a uniform follow-up tracing time for charged out material (normally 5 to 10 working days). Once the suspense period has elapsed, trace records to prevent loss. Note results of tracing actions on chargeout card or suspense copy.

(2) Unclassified Records, Non-Letter-Size Equipment. Use the above methods to chargeout records not maintained in letter-size equipment, when feasible. Otherwise devise other appropriate methods.

(3) Security Classified Records. Use the procedures in paragraph 10 of this enclosure to chargeout classified records. Supplement with procedures prescribed for the control and receipting of classified material.

11. Records Disposition

a. Disposition Policy. The instructions in paragraphs 11, 12 of this enclosure and enclosure 1 govern the disposition of all DLA records.

(1) DLA Records. Retire non-current permanent DLA records and non-current temporary DLA records that aren't authorized for retention in current files areas until eligible for destruction to the designated regional or national Federal Records Center of the National Archives and Records Administration unless otherwise indicated in enclosure 1. Federal Records Centers and the areas they serve are listed at the end of this enclosure. (Note: Prior to September 1972, permanent records of all DLA activities were retired to the Washington National Records Center.)

(2) Non-DLA Records. Destroy or retire records inherited or transferred from another DoD component according to the regulations of the applicable DoD component when no DLA records have been added to the file.

b. Nuclear Test Data Records. The Defense Nuclear Agency (DNA) is the DoD executive agent responsible for all matters related to nuclear test programs and records disposition. DLA recordkeeping standards do not apply to these records. The following list of nuclear test data records require DNA disposition approval that may be obtained through CI.

(1) Records of an operational nature documenting implementation of atmospheric and other nuclear test programs, policies, plans and procedures, and schedules.

(2) Records pertaining to internal field test administration and operations including informational copies of correspondence, forms, publications, etc.

(3) Nuclear weapons effects field test records (motion picture and still films, oscillograms, paper charts, and magnetic tapes) on which are recorded raw or unevaluated data and evaluated data resulting from the study of the above materials, including project logs, memoranda, graphs, tabulations, reports, calibration data of films and/or instruments, and related records referred to collectively as "reduced data."

(4) Synoptic meteorology records accumulated to evaluate, interpret, and determine climatological conditions bearing on pretest engineering, test execution, and posttest contamination problems.

(5) Projects construction records, including working drawings and construction specifications, "as-built" drawings, shop drawings, equipment specifications, site surveys (pretest/posttest), operation and maintenance manuals, etc., for completed project and projects terminated before construction completion.

(6) Radiation contamination control program records.

(7) Individual employee health hazard case files.

(8) Environmental impact studies and contamination records.

(9) Radioactive waste disposal and unplanned disposition records.

(10) Logistics and support records including transport, communications, supply, housing, and personnel assignments.

c. Records Transfer

(1) Transfer of Functions Within DLA or DoD. When a function is transferred within DLA or DoD, transfer the current records of the transferred function to the gaining DLA or DoD activity. Maintain these records as a separate entity when feasible to preserve their administrative origin. Retire the transferred function's inactive (cutoff) records that have little or no reference value to the designated records holding area or records center. Furnish a list of records transferred to the gaining activity and a copy of the Standard Form (SF) 135, Records Transmittal and Receipt, listing the retired inactive records to the records management official of the gaining DLA or DoD activity.

(2) Transfer to Other Government Agencies. The National Archives and Records Administration regulations authorize the transfer of records from one Government agency to another when the transfer of records and/or functions is required by statute, Executive Order, or Presidential reorganization plan, the records are loaned for official use, or when the records are transferred to Federal records centers or the National Archives. When these conditions do not exist, submit recommendations for transfer to the Director, DLA, ATTN: CI. Include a concise description of the records with an estimate of the volume in cubic feet, a statement of the restrictions imposed on the use of records, name and locations of the agency to which the records are to be transferred, and the reasons for the transfer.

(3) Discontinuance or Change in Status

(a) Discontinuance without Transfer of Functions. Retire records not authorized for immediate disposal to the designated Federal records center.

(b) Redesignation or Reorganization without Transfer of Functions. Make no changes. Continue records and cut off when appropriate.

(c) Discontinuance, Redesignation, or Reorganization with Transfer of Functions. Follow procedures in subparagraph (1) above.

d. Specific Disposition Procedures. Use the following procedures for the cutoff and disposition of records with disposition standards based on specific time periods unless otherwise indicated in paragraph e below and enclosure 1. The suggested cutoff intervals are minimum requirements; more frequent cutoff is authorized when appropriate. The pre-retirement holding periods are maximum unless an exception has been granted as provided in paragraph F2f (RESPONSIBILITIES). Retire records earlier when consideration of such factors as volume, remaining retention period, infrequency of reference, and costs of retirement so indicates.

(1) One Month. Cut off at the end of the month, hold 1 month, then destroy.

(2) Three Months. Cut off at the end of each quarter, hold 3 months, then destroy.

(3) Six Months. Cut off semiannually as of 30 June and 31 December (FY records as of 31 March and 30 September), hold 6 months, then destroy.

(4) One Year. Cut off at end of the calendar or fiscal year, hold 1 year, then destroy.

(5) Two Years. Cut off at end of the calendar or fiscal year, hold until expiration of the 2 year period, then destroy.

(6) Three Years or More. Cut off at the end of calendar or fiscal year. The current policy of Federal Records Centers is to accept records for storage in the Records Centers only if the records will remain in the Center at least 1 year before their scheduled disposition. Federal Records Center Directors will evaluate requests for an exception to this policy on an individual basis. The specific disposition of records may determine where the records may be stored

prior to disposition. The following disposition procedures shall be taken for each record series:

(a) Activities Without Records Holding Area. Cutoff records will be held 1 year, then retired to the appropriate Federal Records Center, held until the retention period expires, and then destroyed. If less than 1 year remains before scheduled disposition, hold until the retention period expires, then destroy.

(b) Activities With a Records Holding Area. Cutoff records will be held 1 year, then transferred to the records holding area, held an additional year, and then retired to the appropriate Federal Records Center. If less than 1 year remains before scheduled disposition, hold records in the holding area until the retention period expires, then destroy.

(7) Permanent Records. Permanent records will be cut off at the end of calendar or fiscal year, or event or action, as appropriate, held 2 years and then retired to the appropriate regional Federal Records Center.

(8) Small Volume Records. The Records Management Officer can approve small volumes of records to be retained until eligible for disposal or retirement, provided additional space or equipment is not needed.

e. Destruction of Records

(1) General. Paper records authorized for immediate destruction will be sold as wastepaper or destroyed.

(2) Unclassified Records. When the weight of unclassified paper records ready for destruction exceeds 100 pounds (approximately 4 linear feet), contact the local property reutilization officer who will determine if sale or recycling is feasible. When not feasible, disposition by other means is authorized. Unclassified material is considered destroyed when it is placed in trash containers.

(a) For Official Use Only (FOUO) Records. Destroy FOUO paper records by tearing each copy into pieces to prevent reconstruction and place in regular trash containers. Local authorities may direct other methods when local circumstances or experience indicate this destruction method is not sufficiently protective of the information. However, the additional expense incurred should be balanced against the degree of sensitivity of the type of information contained in the records.

(b) Privacy Act Records. Destroy records containing personal information according to requirements in DLAR 5400.21.

(3) Classified and Registered Documents. Destroy classified unregistered documents covered by disposition standards in enclosure 1 and classified registered documents covered by DLA Supplement 1 to DoD 5200.1-R in the manner prescribed in security regulations. Note: Security regulations do not constitute authority for disposition of security documents; they only prescribe the manner or method used to destroy such documents.

f. Accidental Disposal of Records. In cases of accidental loss or destruction of records by fire or other causes, take the following actions:

(1) Reconstruct as much of the lost or destroyed records as possible. For example, reconstruct a permanent record set of publications by replacing with copies taken from reference sets or from stock. Reconstruct other documentation from extra copies or from other documentation containing the same information.

(2) When reconstruction is not possible, identify the records as lost or destroyed documentation on a records retirement list at the time of retirement of records of the same date period to a Federal Records Center. Include a description of the records and an explanatory note regarding the accidental disposal of the records.

g. Retirement. Retire non-current records that are not authorized for retention and destruction in current files areas or records holding areas to the appropriate Federal Records Center.

(1) Retirement of Classified Records.

(a) General. Hold security classified records in current files areas until eligible for disposal or retirement. Do not store in a records holding area unless the storage area meets the security requirements for the storage of classified records.

(b) CONFIDENTIAL and SECRET Records. Retire records bearing these security classifications to the appropriate Federal Records Center when eligible for retirement under the provisions of paragraph d above. Before retiring these records, review documents to determine whether or not they can be downgraded or declassified. Certify classification review on or attach to the SF 135, Records Transmittal and Receipt Form. Indicate changes reflecting downgrading or declassification on each document as required by Chapter IV of DoD 5200.1-R.

(c) TOP SECRET Records. Do not retire records classified as TOP SECRET to a records holding area or to a Federal Records Center until reduced to a lower classification.

(2) Transfer of Permanent Records to the National Archives. Permanent DLA records are offered to the National Archives for permanent preservation. Normally these records flow from a DLA activity to temporary storage at a Federal Records Center and ultimately to the National Archives. However, the following cases are exceptions to this procedure:

(a) Collections of historically valuable records maintained by DLA.

(b) Audiovisual records.

(c) Electronic records. When these records are no longer needed, they will be transferred directly to the National Archives, bypassing the FRC. Note: To ensure preservation, transfer permanent electronic records to the National Archives as soon as they are no longer needed for current business so they can be maintained in the proper environmental storage conditions. To accomplish transfer of records directly to the National Archives, notify CI and provide a detailed description of the records. CI will prepare the required documentation (SF 258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States) and coordinate the approval and transfer of these records. Legal custody of the records passes to the National Archives when the records are received into storage at a NARA depository.

(3) Separate Retirements of Permanent and Temporary Records. Retire temporary records separately from permanent records, using separate accession numbers and separate SF's 135, Records Transmittal and Receipt. Never mix permanent records with temporary records in a single accession even when there is less than a full box of permanent records. Hold small volumes of such records in the current files area until a cubic foot accumulates and records can be retired. Exception: When it is unlikely that a permanent series of records will accumulate the cubic foot required for retirement, records officers can request approval from the Office of Federal Records Centers to retire a mixed series.

12. Packing and Retiring Records. Follow the procedures described below to retire records to records holding areas and Federal Records Centers.

a. Record Preparation

(1) Remove all nonrecord material and extra copies of records from official files.

(2) Separate records into series. A series is a block of records with the same disposition authority and same disposition date. Each 5-digit record series number in enclosure 1 represents one series.

(3) Request an accession number for each series. Each accession must consist of at least one full box. The accession number may be assigned by the activity records personnel on a prearranged basis with the Federal Records Center or assigned by the Records Center if the center operates in this manner.

b. Shipping Containers and Supplies. Use the following materials to pack the records for shipment to records holding areas and to Federal Records Centers.

- (1) Standard-size record boxes:
 - (a) 14 3/4" X 12" X 9 1/2" NSN 8115-00-117-8249
(tuck bottom)
 - (b) 14 3/4" X 12" X 9 1/2" NSN 8115-00-117-8344
- (2) Special-purpose boxes:
 - (a) Half-size box NSN 8115-00-117-8338
(14 3/4" x 9 1/2" x 4 7/8")
 - (b) Magnetic tape box NSN 8115-00-117-8347
(14 3/4" x 11 3/4" x 11 3/4")
 - (c) Microfiche box NSN 8115-01-025-3254
(14 3/4" x 6 1/2" x 4 1/2")
- (3) Filament tape (2 inch) NSN 7510-00-159-4450
- (4) SF 135 * NSN 7540-00-634-4093

SF 135a * NSN 7540-00-823-7952

* These forms are automated and available in PerForm Pro. Use the automated format when available.

c. Packing Procedures

- (1) Box Assembly
 - (a) Tuck-bottom Box. Fold in one set of 6-inch tabs and then insert one double-folded, 15-inch flap. Repeat the procedure for the opposite side and press the two 15-inch flaps flat on the inside of the box. This will always be the bottom of the box. This box has been replaced with the "lock bottom" box and will be issued as existing GSA stocks are exhausted.
 - (b) Standard Box. Do not interleave the bottom flaps of the box. Fold the two 12-inch flaps inside, then fold the two 15-inch flaps and apply tape.
- (2) Arrangement. Pack records in an upright position in the boxes so the original filing arrangement is retained. Place letter size folders parallel with the end of the box and labels facing the front. Place legal size folders parallel with the side of the box and labels facing the left side. Fill containers to capacity, but do not pack so tightly that future records reference service is hindered. When possible, recall charged-out records before packing records for retirement. When charged-out records are not recalled, leave adequate space in the appropriate box to re-file after retirement.
- (3) Partially Filled Containers. Federal Records Centers normally do not accept partially filled containers (less than 1 cubic foot). Exception: a single accession consisting of more than one container with only the last box partially filled. In this case the partially filled container will be accepted. Pack the space between the records and the inner walls of the box with crumpled or wadded paper or other suitable packing material to prevent movement of the contents. Do not use excelsior, shredded paper, waxed paper, additional file material, or surplus file folders for packing material.
- (4) Labeling Boxes. Write the following identifying information on the front of the box (unstapled 12-inch end) with a black felt tip marker making numbers at least 1 1/2 inches high. Do not write on sealing tape nor place tape over accession or box numbers.
 - (a) Accession Number. Write the accession number in the upper left corner of each box in the accession.
 - (b) Box Number. Number boxes consecutively for each accession. Write the number in the upper right corner and include the consecutive number of the box, a slash, and the total number of boxes, e.g., 1/25, 2/25, etc.
 - (c) When boxes are held in a RHA and not assigned an accession number until year of retirement, mark a description of the records on the box to assure that boxes do not become intermingled with other retirements.

(5) Closing Boxes. When boxes contain unclassified records being retired to a local records holding area or to a local records center, close by interleaving the top flaps of the box. In all other instances, seal the boxes with filament-reinforced tape.

d. Preparation of Transfer Documents

(1) Retirement to Records Holding Areas. When RHA services are provided by a non-DLA activity, follow the procedures prescribed by that activity. When RHA services are provided by a DLA activity, the local records management officer will provide instructions for the retirement of records to the RHA. Such instructions will include requirement to use SF 135 and SF 135a, Records Transmittal and Receipt (Continuation Sheet), to document transfers of records to records holding areas in a manner similar to the methods used in transfers to Federal Records Centers (subparagraph 2 below).

(2) Retirement to Federal Records Centers (FRC)

(a) Transferring Office (Office of Record). Complete an original and three copies of SF 135, and when necessary, SF 135a for each accession being retired. Include an itemized listing of the contents of each box for both permanent AND temporary records and attach to the SF 135. When the listing is made on plain paper, include agency name and accession number at the top of the first page. Itemizing box contents will enhance future reference service. Retain one copy of the SF 135 and file in 110.61; provide the original and two copies to the records management officer.

(b) Records Management Officer. Forward the original and one copy of the SF 135 to the appropriate FRC. (Follow local procedures.) The FRC will review the SF 135 for completeness and accuracy.

[1] When the transfer is approved, the FRC will return a copy of the SF 135 authorizing shipment of the boxes. Receipt of the annotated copy indicates the records may be transferred.

[2] Place one copy of the completed SF 135 in box one of each accession. When the box is already sealed, place the copy in an envelope taped to the outside of the first container.

[3] Arrange for the physical transfer of records to the Records Center as soon as possible after receipt of the annotated SF 135. Delay in shipment of more than 90 days (120 days for overseas installations) will result in the cancellation of the accession number and return of the original SF 135. The paperwork will have to be resubmitted and go through the approval process again, creating delays.

(c) The FRC matches the boxes against the copy of the SF 135 submitted with the accession, annotates with a shelf location, and returns the SF 135 after the boxes have been shelved.

(3) Transfer Documents for Classified Records. Prepare the transfer documents as described in the preceding paragraphs for classified records that are authorized for retirement (paragraph 11g of this enclosure). In addition, observe the following instructions:

(a) Prepare a separate set of transfer documents for classified records.

(b) Avoid including classified information on the SF 135 when possible. When classified information is shown, classify the SF 135 accordingly.

e. Shipping Procedures (Unclassified Records)

(1) When records pick up service is not provided by designated FRC, records may be sent by mail, United Parcel Service (UPS), or common carrier. Use the most economical means of shipment. For smaller shipments (less than 24 boxes), mail or UPS is most economical. For larger shipments, ship by common carrier.

(2) Unclassified records shipped by common carrier will be handled in the same manner as other commercial shipments. To get a lower tariff rate for office records, put the following statement on bills of lading or other shipping

documents: "The agreed or declared value of this property is hereby stated by the shipper not to exceed 3.5 cents per pound." In addition, give the following commodity description on the bill of lading: "Records, office, old, in boxes, securely protected against opening in transit."

(3) Seal boxes with filament tape; do not tape over the accession number or the agency box numbers. Stencil or label each box to show clearly the name and address of the shipper, designation and address of the receiving Records Center, gross weight, outside cubic measurement, and box number. (A shipping box filled to capacity weighs approximately 25-35 pounds. The outside cubic measurement of the box is 1 cubic foot.) Place the stencil or label on the top of the box after the box has been sealed.

f. Packing and Shipping Classified Records. In addition to the packing and shipping procedures specified above, follow these additional procedures in making shipments of security classified records. Note: Nothing in this instruction is intended to supersede or compromise current security directives or regulations issued by HQ DLA or higher authority. In the event of conflicting guidance, follow the governing security directive.

(1) Small quantities of SECRET or CONFIDENTIAL records (less than one box) will not be accepted by the Federal Records Center. When SECRET or CONFIDENTIAL records are of sufficient volume to be transferred to a Federal Records Center, prepare the box in the following manner: Divide the contents in half. Wrap each half with heavy brown paper and seal with tape. Mark the outside of each wrapped package with the address of the FRC, classification, and any applicable special instructions. Place these packages in the shipping box, seal, and address (include complete address of the FRC and return address of the sender). Do not indicate that the contents are classified on the outside of the shipping box.

(2) Ship records classified SECRET or CONFIDENTIAL and records containing cryptographic material in accordance with DoD Regulation 5200.1-R.

g. Recall of Records from Federal Records Centers

(1) Use Optional Form 11, Reference Request-Federal Records Center, to recall agency records retired into the FRC system.

(a) Include the accession number, box number, location, and nature of service. This information is on retained copies of SF 135.

(b) Retain the middle copy as a suspense copy. Send all copies when requested records are security classified.

(c) Use a separate OF 11 for each folder or box requested.

(d) Make a notation in "Remarks" section when records are being requested under the provisions of the Freedom of Information Act or the Privacy Act to ensure priority handling.

(2) Records may be recalled electronically using the Center Information Processing System (CIPS). Activities desiring access to this system should contact the director of the Federal Records Center serving the Activity's records for information and technical assistance.

(3) Return recalled items in original folders or containers to allow accurate re-filing. When a container is unusable for shipment, copy all information from its front onto the front of its replacement.

h. Liaison with Federal Records Centers. Direct contact with FRC representatives is encouraged. Most problems can be resolved by informal contacts; however, do not substitute informal negotiations for the requirements of formal documentation specified in this instruction.

13. Records Holding Area (RHA)

a. Establishment. Records holding areas may be established at a DLA primary level field activity or at a subordinate activity provided:

(1) It is not feasible to arrange for joint use of a RHA as provided in paragraph b below.

(2) The activity has an annual accumulation of 100 or more cubic feet of records having a retention period of three or more years.

(3) A determination has been made that retiring records directly from current files areas to the nearest Federal Records Center after reasonable holding periods (normally not in excess of three years) would adversely affect current operations and/or otherwise be too costly when compared to holding the records locally.

b. Joint Use of RHA

(1) Where two or more DLA activities are at a single location and the criteria for establishing a RHA are met, a single RHA will be established for joint use by all DLA activities at that location.

(2) A RHA operated by a DLA activity may provide services to non-DLA activities under terms of service agreements. However, the non-DLA activity will retain responsibility for assuring proper disposition of its records. Conversely, DLA activities may use a RHA operated by a non-DLA activity under terms of a service agreement. The DLA activity is responsible for assuring that disposition of DLA records is in accordance with the requirements of this instruction.

c. Exceptions. Submit requests for exceptions to the criteria for RHAs in paragraphs a and b above to HQ DLA, ATTN: CI.

d. Space. Use warehouse, basement, or other space not suitable for offices for records holding areas. When this type of space is not available, DLA activity commanders may approve use of office space. However, before allocating office space for RHA purposes, the cost of maintaining inactive records in expensive office space versus the low costs for storage at Federal Records Centers should be considered.

e. Shelving. Use open steel shelving of the type manufactured by the Federal Prison Industries, Inc., for storing records boxes in records holding areas. Select units with 10 shelves, each shelf 42 inches wide by 30 inches deep with an 11-inch clearance between shelves unless ceiling height or floor load capacity dictate otherwise.

DIRECTORY OF NARA RECORDS CENTER FACILITIES

Office of Regional Records Services

Richard L. Claypoole, Assistant Archivist

National Archives at College Park

Room 3600

8601 Adelphi Road

College Park, Maryland 20740-6001

Telephone: 301-713-7200

Fax: 301-713-7205

National Archives and Records Administration - Northeast Region

Diane LeBlanc, Regional Administrator

Frederick C. Murphy Federal Center

380 Trapelo Road

Waltham, Massachusetts 02452-6399

Telephone: 781-647-8745

Fax: 781-647-8088

E-mail: center@waltham.nara.gov

NORTHEAST REGION FACILITIES:

NARA's Northeast Region (Boston)

Frederick C. Murphy Federal Center

380 Trapelo Road

Waltham, Massachusetts 02452-6399

Telephone: 781-647-8108

Fax: 781-647-8112

E-mail: center@waltham.nara.gov

Area served: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont

NARA's Northeast Region (Pittsfield)

10 Conte Drive

Pittsfield, Massachusetts 01201-8230

Telephone: 413-445-6885

Fax: 413-445-7305

E-mail: archives@pittsfield.nara.gov

Area served: Selected Federal agencies nationwide

National Archives and Records Administration - Mid Atlantic Region

James Mouat, Regional Administrator

14700 Townsend Road

Philadelphia, Pennsylvania 19154-1096

Telephone: 215-671-9027

Fax: 215-671-8001

E-mail: center@philfrc.nara.gov

Area served: Delaware, Pennsylvania, and Federal courts in Delaware, Maryland, Pennsylvania, Virginia, and West Virginia

National Archives and Records Administration - Southeast Region

James J. McSweeney, Regional Administrator

1557 St. Joseph Avenue

East Point, Georgia 30344-2593

Telephone: 404-763-7474

Fax: 404-763-7059

E-mail: center@atlanta.nara.gov

Area served: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee

National Archives and Records Administration - Great Lakes Region

David Kuehl, Regional Administrator

7358 South Pulaski Road

Chicago, Illinois 60629-5898

Telephone: 773-581-7816

Fax: 312-886-7883

E-mail: center@chicago.nara.gov

GREAT LAKES REGION FACILITIES:

NARA's Great Lakes Region (Chicago)

7358 South Pulaski Road

Chicago, Illinois 60629-5898

Telephone: 773-581-7816

Fax: 312-886-7883

E-mail: center@chicago.nara.gov

Area served: Illinois, Minnesota, and Wisconsin, and Federal courts in Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin.

NARA's Great Lakes Region (Dayton)

3150 Springboro Road

Dayton, Ohio 45439-1883

Telephone: 937-225-2852

Fax: 937-225-7236

E-mail: center@dayton.nara.gov

Area served: Ohio, Indiana, and Michigan, except Federal courts in Ohio, Indiana, and Michigan

National Archives and Records Administration - Central Plains Region

Reed Whitaker, Regional Administrator

2312 East Bannister Road

Kansas City, Missouri 64131-3011

Telephone: 816-926-6920

Fax: 816-926-6982

E-mail: center@kansascity.nara.gov

CENTRAL PLAINS REGION FACILITIES:

NARA's Central Plains Region (Kansas City)

2312 East Bannister Road

Kansas City, Missouri 64131-3011

Telephone: 816-926-6920

Fax: 816-926-6982

E-mail: center@kansascity.nara.gov

Area served: Iowa, Kansas, Missouri, Nebraska

NARA's Central Plains Region (Lee's Summit)

200 Space Center Drive

Lee's Summit, Missouri 64064-1182

Telephone: 816-478-7089

Fax: 816-478-7623

E-mail: elaine.christopher@kccave.nara.gov

Area served: New Jersey, New York, Puerto Rico, the U.S. Virgin Islands, and for most of the Department of Veterans Affairs

National Archives and Records Administration - Southwest Region

Kent Carter, Regional Administrator

501 West Felix Street, Building 1

Fort Worth, Texas 76115-3405

P. O. Box 6216

Fort Worth, Texas 76115-0216

Telephone: 817-334-5515

Fax: 817-334-5621

E-mail: center@ftworth.nara.gov

Area served: Arkansas, Louisiana, Oklahoma, Texas

National Archives and Records Administration - Rocky Mountain Region

Robert Svenningsen, Regional Administrator

Denver Federal Center, Building 48

Denver, Colorado 80225

P. O. Box 25307

Denver, Colorado 80225-0307

Telephone: 303-236-0801

Fax: 303-236-9297

E-mail: center@denver.

nara.gov Area served: Colorado, Montana, New Mexico, North Dakota, South Dakota, Utah, Wyoming

National Archives and Records Administration - Pacific Region

Sharon Roadway, Regional Administrator

1000 Commodore Drive

San Bruno, California 94066-2350

Telephone: 650-876-9249

Fax: 650-876-0920

E-mail: sharon.roadway@sanbruno.nara.gov

PACIFIC REGION FACILITIES:

NARA's Pacific Region (Laguna Niguel)

24000 Avila Road

1st Floor-East Entrance

Laguna Niguel, California 92677-3497

P.O. Box 6719

Laguna Niguel, California 92607-6719

Telephone: 949-360-2618

Fax: 949-360-2624

E-mail: center@laguna.nara.gov

Area served: Arizona, southern California, and Clark County, Nevada

NARA's Pacific Region (San Francisco)

1000 Commodore Drive

San Bruno, California 94066-2350

Telephone: 650-876-9015

Fax: 650-876-0920

E-mail: center@sanbruno.nara.gov

Area served: Northern California, Nevada (except Clark County), and selected Federal agencies in Hawaii and the Pacific Ocean area

National Archives and Records Administration - Pacific Alaska Region

Steven Edwards, Regional Administrator

6125 Sand Point Way NE

Seattle, Washington 98115-7999

Telephone: 206-526-6501

Fax: 206-526-6545

E-mail: center@seattle.nara.gov

Area served: Idaho, Oregon, Washington, and selected Federal agencies in Alaska, Hawaii, and the Pacific Ocean area

National Archives & Records Administration - National Personnel Records Center

David L. Petree, Director

9700 Page Avenue

St. Louis, Missouri 63132-5100

Telephone: 314-538-4201

Fax: 314-538-4005

E-mail: center@stlouis.nara.gov

NATIONAL PERSONNEL RECORDS CENTER FACILITIES:

NARA's National Personnel Records Center (Civilian Personnel Records)

111 Winnebago Street

St. Louis, Missouri 63118-4199

Telephone: 314-425-5722

Fax: 314-425-5719

E-mail: center@cpr.nara.gov

NARA's National Personnel Records Center (Military Personnel Records)

9700 Page Avenue

St. Louis, Missouri 63132-5100

Telephone: 314-538-4247

Fax: 314-538-4005

E-mail: center@stlouis.nara.gov

National Archives and Records Administration - Washington National Records Center

Ferris E. Stovel, Director

4205 Suitland Road

Suitland, Maryland 20746-8001

Telephone: 301-457-7000

E-mail: center@suitland.nara.gov

Fax: 301-457-7117

Area served: Washington, DC, area, Maryland, Virginia, West Virginia, and armed forces worldwide, except records of the Federal courts of Maryland, Virginia, and West Virginia.

Encl 3

DLAI 5015.1

SUPPLEMENTAL RECORDS MANAGEMENT APPLICATION (RMA)
FUNCTIONAL REQUIREMENTS

FUNCTIONAL REQUIREMENTS. When electronic records management systems are used to create, use or store the RECORD COPY of documents or data files the following functional requirements shall be implemented, as applicable, by the

organization, but not necessarily by the RMA. These requirements are in addition to the minimum mandatory requirements for RMA's provided in DoD STD 5015.2, Department of Defense Design Criteria Standard for Records Management Application Functional Baseline Requirements.

1. ELECTRONIC CALENDARS AND TASK LISTS. These sometimes qualify as organizational records. When the RMA being acquired does not have the capability to extract them from the software application that generates them, intermediate procedures shall be implemented to enable those records to be managed by the RMA.

2. EXTERNAL E-MAIL. Some organizations use separate E-mail systems for internet E-mail or other wide area network E-mail. These records shall be handled as any other E-mail records in the RMA.

3. ABILITY TO READ AND PROCESS RECORDS. Since RMAs are prohibited from altering the format of stored records, the organization shall ensure that it has the ability to view, copy, print, and when appropriate, process any record stored in RMAs, in its original format, for as long as that record must be retained. The organization may meet this requirement by (1) maintaining the hardware and/or software used to create or capture the record, (2) maintaining hardware and/or software capable of viewing the record in its native format, (3) ensuring backwards compatibility when hardware and/or software is updated, or (4) migrating the record to a new format before the old format becomes obsolete. Any migration shall be controlled in order to ensure continued reliability of the record and shall be in accordance with guidance provided in the DoD Automated Document Conversion Master Plan.

4. CLASSIFIED AND OTHER SENSITIVE RECORDS. When required, the acquisition activity shall specify requirements and/or acquire additional capabilities for the management of security classified records, records that contain Privacy Act information, records exempt from FOIA, or any other records that require special access control or handling. The using organization shall implement special procedures to comply with legal and regulatory requirements for those records.

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MICROGRAPHICS

1. General

a. The use of micrographic technology is encouraged when economic analysis indicates that it will decrease the cost or improve productivity of existing or planned systems.

b. A microform system must show cost savings or other benefits that offset the cost.

c. Existing approved microform systems need not be changed to meet the requirements of this directive. However, systems must be evaluated periodically to find out whether converting to the requirements of this instruction is feasible.

d. Microfilming operations, commitment to purchase or lease equipment, or to contract for any services will not be effected until the microform system proposal is approved by CI.

e. Procurement of equipment, supplies, and services related to micropublishing will be in accordance with DLAI 5330.1.

f. Only those microform formats authorized in MIL-STD-399a, Microform Formats, will be used.

2. Developing a Micrographic System

a. Perform a Feasibility Study. To find out the feasibility of setting up a microform-based storage and retrieval system, many facts must be gathered and analyzed. The present system must be studied and decisions made to find out if a microform system will support the information system needs of the office. The information needed to make these decisions must be tailored to each microform system application or proposal. Use DLA Form 1702, Microform System Feasibility Study, to describe the present system. Gather such information as:

(1) The title of the record series, record series number, inclusive dates of the material, and highest security classification.

(2) Physical characteristics such as document size and form, e.g., sheets, 3- by 5-inch cards, 11- by 14-inch computer printouts; include length of longest document.

(3) The file arrangement of the documents (numerical, alphabetical, or chronological) and whether it is centralized or decentralized.

(4) The extent to which duplicate records are kept, including the volume and location, and whether the microform system under consideration is compatible with the duplicate records.

(5) Primary producers of documents or data and their location.

(6) Indexing means used to identify documents or information (title, number, case, organization, author, or other descriptors).

(7) Size of data base. Show volume on hand, in cubic feet. If text, estimate the number of documents in each series and the average number of pages in each document. If data, show the average number of characters or lines.

(8) File activity. Estimate the weekly, monthly, and annual accumulation of each series, in cubic feet.

(9) User needs. Determine the number and location of the offices using the information and any distribution copy needs. Talk with the users and find out any special needs they may have, such as posting or making annotations on the documents. Consider present reproduction and distribution costs.

(10) Update needs. Determine how many and how often updates, changes, revisions, or interfiles are needed. Include estimated number of updates or other changes per day, week, or month, or at other intervals.

(11) Faults of present system. Study the present system and identify faults. Show problems or shortcomings of the present system. Find out if the faults can be removed or improved by a microform system or changing the present system, such as better indexing, storage, and retrieval equipment.

(12) Personnel costs. List personnel (by number and grade) now used in prefile procedures to sort, sequence, or index. List personnel used to store and retrieve documents, i.e., file, update, retrieve, copy, and dispose of documents. List supervisory personnel. Show full-time or part-time military or civilian personnel. Use this information to find yearly personnel costs of the present system.

(13) Equipment costs. Check the number and type of filing containers (secured and nonsecured filing cabinets, card files, open shelf files, and map drawers) needed to store the documents or information. Use this information to find yearly equipment costs of the present system.

(14) Supply costs. Determine the yearly cost of supplies used in the present system.

(15) Space and other needs. Determine the cost of floor space and any other costs to store and retrieve documentation or information.

b. Based on findings of DLA Form 1702, analyze the data and use paragraph 7a, Potential Benefits and Limitations of Microform Systems, as a guide to determine whether a microform system is feasible.

c. Cost Analysis. Comparing tangible costs is the easiest method of presenting a cost/benefit analysis. By assigning dollar values to represent the costs of both systems and the benefits to be obtained from the proposed system, it is possible to derive comparable costs, new savings, or cost avoidance figures.

(1) Direct labor costs are calculated on the basis of total hours required to operate the present information facilities and those estimated to operate a proposed microfilm system. The total hours are converted to dollars using appropriate average hourly wage rates paid to various types of the direct labor costs; for example, 10 percent represents supervisory costs and 7 1/2 percent represents health and retirement benefits Government employees receive.

(2) Equipment costs include purchases (amortized), rentals, and maintenance expressed in dollars and converted to annual rates, as appropriate, to match other cost categories.

(3) Supply and other costs include the costs of all film, film processing, reader-print paper and chemicals, cartridges, projection lamps, labels, and file folders.

(4) When considered appropriate, additional costs expressed as a percentage of the total shown as "Other Overhead" can be added to this to represent costs such as space, management services, and heat and light. This overhead figure can represent part of the intangible costs of the present and proposed systems.

(5) It is more difficult to compute dollar benefits that can be derived from the installation of a microfilm system. Dollar benefits are often intangible, such as faster retrieval of information, greater use of the data base, and better service to the users. There could be even be intangible costs of the present system that might not have been included in the overhead percentage, for example, estimated costs of "can't find" or other costs associated with the lack of retrieval of needed information because of system deficiencies. When intangible costs are included, they should be added to the total cost of the present system.

d. Prepare and Submit the System Proposal

(1) When preparing DLA Form 1702a, Microform System Proposal, furnish information that will permit a clear understanding of the proposed system. When appropriate, attach sample copies of documents, studies, flow charts, cost analyses or other supporting information.

(2) When a test is planned, indicate objectives and limitations of the test. Prior approval is required from CI. The test period will not exceed 5 months, and equipment will be leased, not purchased for the system during the test period. Submit copies of any progress and final reports of the test systems to CI.

(3) When an interface with ADP is contemplated submit in accordance with DLAR 4710.1, Management of Automated Data Processing/Teleprocessing (ADP/T) Resource Acquisition, enclose the information required for the micrographic system proposal, and provide CI a copy of the entire proposal.

3. Evaluation and Approval of Proposed Micrographics Systems

a. The Heads of DLA PLFAs will:

(1) Ensure that the information in the proposal is accurate and complete, and that the techniques and equipment proposed for the system are practical.

(2) Determine whether any of the operations required for the proposed system could be accomplished by sharing the use of existing approved equipment and facilities.

(3) Ensure that coordination of the proposal has been accomplished with all elements that might be affected by, or interested in, the implementation of the system.

(4) Forward the proposal to CI for approval.

(5) Return incomplete proposals to the initiating activity with an appropriate explanation.

(6) Maintain an inventory of approved micrographic systems and equipment.

b. CI will:

(1) Evaluate and approve or disapprove the use of micrographic systems based on:

(a) Policy and requirements affecting the creation, maintenance, and disposition of Federal records.

(b) Information furnished in the proposal (soundness of system, selection of equipment, method of accomplishment, and economics).

(c) Coordination and the comments of activities that have either a functional interest in the system or a responsibility to support the implementation of the system.

(2) Assign a system control number to each approved system. The control number will contain the activity symbol, the last two digits of the calendar year, and a sequential control number beginning with "1" for each calendar year, e.g., DASC-98-1, DASC-98-2.

(3) Return disapproved proposals with an appropriate explanation.

(4) Maintain an inventory of all micrographic systems.

c. Procuring Microform Equipment. Before initiating procurement actions for equipment in an approved system, consider:

(1) Sharing use of existing DLA-operated equipment.

(2) Obtaining microfilming services from a commercial source.

(3) Lease of equipment with option to purchase, particularly for short-term use and for systems subject to change that may require corresponding changes to equipment. In these instances, a service contract to accomplish the filming and/or processing may be more economical than either purchasing or leasing the equipment.

(4) Maintenance contracts on purchased equipment.

d. Changing an Approved Micrographic System. When any major change is contemplated, advance approval must be obtained from CI. Proposed changes are to be prepared and submitted in the same number as the initial proposal. Major changes include proposals to:

(1) Discontinue in-service operations and contract for services with a commercial firm or vice-versa.

(2) Take over an approved system from another activity.

(3) Change, add to, or discontinue any documentation or indexes approved for the system.

(4) Change the disposition criteria for any documentation in the system.

(5) Change the format of the converted documentation.

(6) Obtain equipment or equipment modifications not originally approved for the system.

e. Cancellation of an Approved System. To cancel an approved micrographic system, notify CI through the Records Management Officer (RMO), by letter and include the following:

(1) Date of cancellation.

(2) Reasons for cancellation.

(3) Disposition of the documentation.

(4) Disposition of the equipment approved for the system.

4. Operation of Micrographic Systems

a. Safeguarding Classified Information

(1) Requirements applicable to the security of classified information in micrographic systems are generally the same as those applicable to classified information in other forms. However, there are special requirements, Government marking and reproduction. DoD 5200.1-R, Information Security Program Regulation, with DLA Supplement 1, is pertinent to these requirements.

(2) Use the services available from DLA and other DoD or GSA facilities as far as practical. Use commercial firms only when they have been cleared and authorized to handle classified information in accordance with DoD 5220.22-R, Industrial Security Regulation.

(3) Review each classified record before including it in the system to ensure that all possible downgrading and declassifying actions have been completed.

b. Disposition Authorization. The approved retention period for temporary records shall be applied to microform copies of such records. The original records shall be destroyed upon verification of the microfilm, unless legal requirements preclude early destruction of the originals. For permanent records, activities must arrange to schedule the disposition of both source documents (originals) and microforms by submitting a request for approval of a new record series to CI. CI will review the request and prepare SF 115, Request for Records Disposition Authority, for approval by NARA. Source documents may not be disposed of before NARA authorization is received.

c. Preparatory Steps

(1) The integrity of the original records authorized for disposal shall be maintained by ensuring that the microforms are adequate substitutes for the original records and serve the purpose for which such records were created or maintained. Copies shall be complete and contain all information shown on the originals.

(2) The records shall be arranged, identified, and indexed so that any particular document or component of the records can be located. Each microform roll or fiche shall include accurate titling information on a titling target or header. At a minimum, the titling information shall include the name of the agency and organization; the title of the records; the number or identifier for each unit of film; the security classification, if any; and the inclusive dates, names, or other data identifying the records to be included on a unit of film. For fiche, complete titling information may be placed as a microimage in frame 1 when the information will not fit on the header.

(3) Each microform shall contain an identification target showing the date of filming. When necessary to give the film copy better legal standing, the target shall also identify the person authorizing the microfilming. See ANSI/AIIM MS19-1987 for standards for identification targets.

(4) The following formats are mandatory standards for microforms.

(a) Roll film

[1] Source documents. The formats described in ANSI/AIIM MS14-1988 must be used for microfilming source documents on 16mm and 35mm roll film. A reduction ratio of 1:24 is recommended for typewritten or correspondence types of documents. See ANSI/AIIM MS23-1991 for determining the appropriate reduction ratio and format for meeting the image quality requirements. When microfilming on 35mm film for aperture card applications, the format dimensions in AIIM/MS32-1987, Table 1 are mandatory, the aperture card format "D Aperture" shown in ANSI/AIIM MS41-41-1988, must be used. The components of the aperture card, including the paper and adhesive, must conform to the requirements of ANSI IT9.2-1991. The 35mm film used in the aperture card application must conform to film designated as LE500 in ANSI/NAPM IT9.1-1992.

[2] COM. Computer output microfilm (COM) generated images shall be the simplex mode described in ANSI/AIIM MS14-1988 at an effective ratio of 1:24 or 1:48 depending upon the application.

(b) Microfiche. For microfilming source documents or computer generated information (COM) on microfiche, the appropriate formats and reduction ratios prescribed in ANSI/AIIM MS5-1990 must be used as specified for the size and quality of the documents being filmed. See ANSI/AIIM MS23- 1991 for determining the appropriate reduction ratio and format for meeting the image quality requirements.

(5) Index placement

(a) Source documents. When filming original (source) documents, all indexes, registers, or other finding aids, if microfilmed, shall be placed either in the first frames of the first roll of film or in the last frames of the last roll of film of a series or in the last frames of the last microfiche or microfilm jacket of a series.

(b) COM. Computer-generated microforms shall have the indexes following the data on a roll of film or in the last frames of a single microfiche, or the last frames of the last fiche in a series. Other index locations may be used only when dictated by special system constraints.

d. Microfilming Permanent Records.

(1) Authorized Production. When records with a permanent retention period are microfilmed, unless CI or the PLFA RMO approves otherwise, only the following production is authorized:

(a) One camera master silver negative, and produced from it:

[1] One silver positive print.

[2] One diazo copy for internal use or further reproduction purposes.

(b) One silver negative film reproduced from the silver positive film.

(2) Film stock standards. Only polyester-based silver gelatin type film that conforms to ANSI IT9.1-1992 must be used in all applications.

(3) Processing standards. Microforms shall be processed so that the residual thiosulfate ion concentration will not exceed 0.014 grams per square meter in accordance with ANSI IT9.1-1989. Processing shall be in accordance with processing procedures in ANSI/AIIM MS1-1988 and MS23-1983.

(4) Quality standards

(a) Resolution-Source documents. The method for determining minimum resolution on microforms of source documents shall conform to the Quality Index Method for determining resolution and anticipated losses when duplicating as described in ANSI/AIIM MS23-1983 and MS43-1988. Resolution tests shall be performed using a NIST-SRM 1010a, Microcopy Resolution Test Chart (a calibrated and certified photographic reproduction) as specified in ISO 3334-1989 (the standard practice for using the test chart), and the patterns will be read following the instructions of ISO 3334-1989. The character used to determine the height used in the Quality Index formula shall be the smallest character used to display information. A Quality Index of five is required at the third generation level.

(b) Resolution-COM. Computer output microforms shall meet the requirements of ANSI/AIIM MS1-1988.

(c) Background density of images. The background ISO standard visual diffuse transmission density on microforms shall be appropriate to the type of documents being filmed. The procedure for density measurement is described in ANSI/AIIM MS23-1983 and the densitometer shall be in accordance with ANSI/ISO 5/3-1984, for spectral conditions and ANSI/ISO 5/2-1985, for geometric conditions for transmission density.

(d) Base plus fog density of films. The base plus fog density of unexposed, processed films should not exceed 0.10. When a tinted base film is used, the density will be increased.

(e) Line or Stroke Width. Due to optical limitations in most photographic systems, film images of thin lines appearing in the original document will tend to fill in as a function of their width and density. Therefore, as the reduction ratio of a given system is increased, the background

density shall be reduced as needed to ensure that the copies produced will contain legible characters.

e. Microfilming Temporary Records. When records with a temporary retention period are microfilmed, the following film and image requirements apply.

(1) Temporary records with a retention period over 99 years. Follow the film and image requirements in the preceding paragraphs.

(2) Other temporary records. Select an appropriate film stock that ensures the preservation of the microforms for their full retention period. Consult appropriate ANSI standards or manufacturer's instructions.

f. Storage

(1) Permanent records. The extended term storage conditions specified in ANSI IT9.11-1991 and ANSI IT9.2-1991, are required for storing permanent and unscheduled microform records, except that the relative humidity of the storage area must be a constant 35% RH, plus or minus 5%. Non-silver copies of permanent or unscheduled microforms must not be stored in the same storage area as silver gelatin originals or duplicate copies.

(2) Temporary records. Temporary microform records must be stored under conditions that will ensure their preservation for their full retention period. ANSI IT9.11-1991 and ANSI IT9.2-1991 should be consulted to determine appropriate storage conditions; however, NARA does not make this mandatory.

g. Inspection

(1) Permanent records.

(a) Master films of permanent record microforms and records microfilmed to dispose of the original record and master films of permanent records created on microfilm must be inspected when 2 years old and, until they are transferred to a Federal records center or to the National Archives, every 2 years thereafter. The inspection must be made in accordance with ANSI/AIIM MS45-1990.

(b) Microforms cannot be accepted for deposit with the National Archives until the first inspection (occurring after the microforms are 2 years old) has been performed. Permanent microforms may be transferred to a Federal records center only after performance of the first inspection or certification that the microforms will be inspected when they become 2 years old.

(c) To facilitate inspection, an inventory of microfilm must be maintained, listing each microform series/publication by production date, producer, processor, format, and results of previous inspections.

(d) The elements of the inspection shall consist of:

[1] An inspection for aging blemishes following the guidelines in the ANSI/AIIM MS45-1990.

[2] A rereading of resolution tests targets.

[3] A remeasurement of density.

[4] A certification of the environmental conditions under which the microforms are stored.

(e) An inspection report must be prepared, and a copy must be furnished to NARA. The inspection report must contain a summary of the inspection findings, including:

[1] A list of batches by year that includes the identification numbers of microfilm rolls and microfiche in each batch.

[2] The quantity of microforms inspected.

[3] An assessment of the overall condition of the microforms.

[4] A summary of any defects discovered, e.g., redox blemishes or base deformation.

[5] A summary of corrective action taken.

(f) The inspection report must also contain a detailed inspection log created during the inspection that contains the following information:

[1] A complete description of all records inspected (title; roll or fiche number or other unique identifier for each unit of film inspected;

security classification, if any; and inclusive dates, names, or other data identifying the records on the unit of film).

[2] The date of inspection.

[3] The elements of inspection.

[4] Any defects uncovered.

[5] Corrective action taken.

(g) An activity having in its custody a master microform that is deteriorating, as shown in the inspection, shall prepare a silver duplicate to replace the deteriorating master. The duplicate film will be subject to the 2-year inspection requirement before transfer to a Federal Records Center or to the National Archives.

(h) Inspection must be performed in an environmentally controlled area in accordance with ANSI/AIIM MS45-1990.

(i) Activities are responsible for the inspection of activity microfilm records transferred to Federal Records Centers.

(2) Temporary records. Inspection by sampling procedures described in the preceding paragraphs is recommended for temporary records, but not required.

h. Disposition. The disposition of microfilm records shall be carried out in the same manner prescribed for other types of records with the following additional requirements for permanent records:

(1) The silver gelatin original, (or duplicate silver gelatin microform record created in accordance with 3d(2) plus one microform copy of each permanent record microfilmed by an activity must be transferred to an approved activity records center, to a Federal Records Center, or the National Archives, at the time that the records are to be transferred, in accordance with this instruction, SF 258, or other authorization for transfer. Non-silver copies must be packaged separately from the silver gelatin original or silver duplicate microform copy and labeled clearly as non-silver copies.

(2) The microforms shall be accompanied by:

(a) Information identifying the activity; the title of the records; the number or identifier for each unit of film, and security classification, if any; the inclusive dates, names, or other data identifying the records to be included on a unit of film.

(b) Any finding aids relevant to the microform that are not contained in the microform.

(c) The inspection log forms and inspection reports required by 3f(e) and (f).

(d) The information required in this paragraph shall be attached to the SF 135 when records are being transferred to a Federal records center and to the SF 258 when records are being transferred to the legal custody of the National Archives.

5. Legal Status of Microfilmed Records. Records that have been microfilmed in accordance with appropriate regulations shall have the same effect as the originals and are admissible as evidence in a legal proceeding (44 U.S.C. 3312).

6. Micrographic Services

a. NARA provides reimbursable microfilming services at many of its Federal records centers. Services include: the preparation, indexing, and filming of records, inspection of film, and labeling of film containers.

b. Activities desiring microfilming services should contact the Office of Federal Records Centers, The National Archives at College Park, 8601 Adelphi Road, College Park, MD 20740-6001 or the director of the Federal records center serving the Activity's records.

c. Fees for microfilming services will be announced in NARA Bulletins. For microfilming services not listed, contact the office shown in the preceding paragraph.

7. Micrographic Specifications and Standards

a. American National Standards Institute (ANSI) and International (ISO) Standards:

(1) ANSI/NAPM IT9.1-1992, American National Standard for Imaging Media (Film)-Silver-Gelatin type - Specifications for Stability.

(2) ANSI IT9.2-1991, American National Standard for Imaging Media - Photographic Processed Films, Plates, and Papers - Filing Enclosures and Storage Containers.

(3) ANSI IT9.11-1991, American National Standard for Imaging Media - Processed Safety Photographic Film - Storage.

(4) ANSI IT2.19-1990, American National Standard for Photography- Density Measurements-Geometric Conditions for Transmission Density.

(5) ANSI/ISO 5/3-1984, ANSI PH2.18-1985, Photography (Sensitometry)-Density Measurements-Spectral Conditions.

b. Association of Information and Image Management (AIIM) Standards:

(1) ANSI/AIIM MS1-1988, Recommended Practices for Alphanumeric Computer-Output Microforms - Operational Practices for Inspection and Quality Control. (FIPS 82).

(2) ANSI/AIIM MS5-1991, Microfiche. (FIPS 54-1).

(3) ANSI/AIIM MS14-1988, Specifications for 16mm and 35mm Roll Microfilm. (FIPS 54-1).

(4) ANSI/AIIM MS19-1987, Recommended Practice for Identification of Microforms.

(5) ANSI/AIIM MS23-1991, Practice for Operational Procedures/Inspection and Quality Control of First Generation, Silver-Gelatin Microfilm of Documents.

(6) ANSI/AIIM MS32-1987, Microrecording of Engineering Source Documents on 35mm Microfilm.

(7) ANSI/AIIM MS41-1988, Unitized Microfilm Carriers (Aperture, Camera, Copy, and Image Cards).

(8) ANSI/AIIM MS43-1988, Recommended Practice for Operational Procedures/Inspection and Quality Control for Duplicate Microforms of Documents and From COM.

(9) ANSI/AIIM MS45-1990, Recommended Practice for Inspection of Stored Silver-Gelatin Microforms for Evidence of Deterioration.

(10) ANSI/ISO 3334-1991, ANSI/AIIM MS51-1991, Micrographics-ISO Resolution Test Chart No. 2-Description and Use.

c. National Institute of Standards and Technology (NIST) Publications. NIST-SRM 1010a, Microcopy Resolution Test Chart (ISO Test Chart No. 2), certified June 1, 1990.

7. Potential Benefits and Limitations of Microform Systems

a. Potential Benefits

(1) Faster retrieval and access, file space compressed, automated retrieval systems can be used, when justified.

(2) Duplicate records can permit more than one user access to information at the same time.

(3) Improved record integrity and security; access can be limited to minimum essential.

(4) Convenient updates, faster and less costly duplication for distribution purposes.

(5) Less costly and faster transmission of information to users due to reduced size and uniform shape.

(6) Centralization of records; better suspense control; improved interface with word processing and other administrative systems in automated office environment.

(7) Increased responsiveness of information system, so that only needed information is made available in real time, at point of use, and in the desired form.

(8) Uniformity and improved indexing with microforms provides rapid display of needed information.

(9) Work methods improvement, repetitive operations (sorting, sequencing, filing, refiling, and posting changes) eliminated or facilitated.

(10) Savings of space devoted to processing and storage of paper documents.

(11) Savings of man-hours devoted to repetitive operations (such as decollating and bursting of computer output) and to filing and retrieval of paper documents.

(12) Savings of operating costs (such as film versus paper forms and reduced computer time) for first and/or future years.

(13) Speed by COM provides up to 20 times faster output than paper printout and the product is compact for ease of distribution, reference, and storage.

(14) Preservation of deteriorating, fading, brittle, or worn documents can be effected.

b. Potential Limitations

(1) The documents/information must be annotated by its user(s).

(2) Prefile requirements, control of input, indexing, etc. would require considerable change.

(3) Unique user requirements, opposition to change, or inability of users to use retrieval/display devices.

(4) Initial conversion of information to microform would require considerable review, rearrangement, or preparation for filming.

(5) Changing, interfiling, or updating information into a microform system would affect the selection and possible use of microforms.

(6) Training/retraining of personnel and a promotional effort to encourage first-time users to use microforms may present a problem.

(7) Strict compliance with applicable specifications and standards for microfilming long-term value Federal records and for controlling the quality of microforms produced and duplicated may present a problem.

(8) Equipment requirements, including viewers, viewer-printers, or remote terminals, at each user location may offset the benefits of a microform system.

(9) Total equipment, supply, manpower, and space costs incurred may offset the benefits of a microform system.

(10) Preparation of documents for filming, such as removal of staples, mending torn pages, locating missing papers, sequencing records, and preparing targets and indexes, may result in excessive cost.

(11) A roll of microfilm, a sheet of microfiche, or a jacket can be misplaced easier than an equal volume of paper records.

Encl 5
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DEFINITIONS

1. Alienation. Unlawfully transferring records or losing custody of them to an unauthorized organization or person.

2. Aperture Card. An 80-column tabulating sized card with a hole, or aperture, containing usually one frame of 35-mm microfilm. Generally used for engineering drawings, maps and charts, and x rays.

3. Archival microfilm. A photographic film that meets the standards described in 3d(2), enclosure 5, and that is suitable for the preservation of permanent records when stored in accordance with paragraph 3f, enclosure 5. Such film must conform to film designated as LE 500 in ANSI/NAPM IT9.1-1992.

4. Case Files. Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Personnel, project, and transaction files are types of case files.

5. Chargeout. The act and result of recording the removal and loan of a document or a record to indicate its location. Usually involves the use of such forms as DLA Form 114, Request For and/or Charge-Out of Records, and Optional Form (OF) 23, Chargeout Record.

6. Common Records. Records that are generally found in most offices but do not directly relate to the performance of the office mission and functions. These materials usually are retained to aid in the conduct of the internal management and other nonmission functions of the office.

7. Computer Output Microfilm (COM). Microfilm containing data converted and recorded directly from a computer. Generally used instead of hard copy printouts.

8. Contingent Records. Records scheduled for final disposition after the occurrence of an event at some unspecified future time.

9. Cutoff. Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files.

10. Destruction. In records management, the major type of disposal action.

11. Disposition. The actions taken regarding records no longer needed for current Agency business. Actions include disposal, retirement, transfer.

12. Disposition Authority. Legal approval obtained from National Archives and Records Administration (NARA) and, in some cases from the General Accounting Office (GAO), that authorizes DLA to transfer permanent records to the National Archives or carry out disposal of temporary records. References such as NC1-361-97-0001 and General Records Schedule (GRS) 12, Item 16a, etc., that follow the disposition instructions for individual records series indicate NARA legal approval.

13. DLA Records. All documents, records, or papers that are required by the Defense Logistics Agency to be prepared and retained. Records not prepared by DLA but required to be received, processed, and retained for official uses may be authenticated subject to the limitations described in paragraph E3b below.

14. Electronic Mail. The process or result of sending and receiving messages in electronic form via remote computer terminals. Also called E-mail.

15. Electronic Mail Message. A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which may be transmitted with the message.

16. Electronic Record. Any information that is recorded in a form that only a computer can process and that satisfies the definition of a record, below.

17. Electronic Recordkeeping. The creation, maintenance and use, and disposition of records created and stored by using a computer.

18. Electronic Records Management System. Any electronic records system that manages records in accordance with reference A3. An electronic records system that does not manage the records in accordance with existing law (e.g., most electronic mail applications), shall not be considered or used as an electronic records management system.

19. Electronic Records System. Any information system that produces, manipulates, or stores records by using a computer.

20. Federal Records Center. A facility for the low-cost storage and servicing of records pending their disposal or transfer to the National Archives.

21. File. An accumulation of records or nonrecord materials arranged according to a plan. Denotes all recorded information, regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, or machine-readable media, or on shelves, and occupying office or storage space.

22. Microfiche. A sheet of film usually approximately 105 x 148 mm in size, containing multiple microimages in a grid pattern with a heading or title, that can be read without magnification.

23. Microfilm. A fine-grain, high-resolution photographic film containing an image greatly reduced in size from the original.

24. Microfilming. The process of recording microimages on film.

25. Microform. A term used for any form containing microimages.

26. Micrographics. A records management technology concerned with producing and using microforms.

27. Micrographics System. A configuration of equipment and procedures for the production, reproduction, maintenance, storage, retrieval, display, or use of microforms.

28. Microimage. A unit of information such as a page of text or a drawing, that has been made too small to be read without magnification.

29. Micropublishing. Publications for mass or general distribution produced in miniaturized image or machine readable format as a substitute for conventionally printed material. Microform or machine readable format reproduction exceeding 250 production units of each original will be commercially procured as printing, as prescribed by DLAI 5330.1, Publications, Forms, Printing, Duplicating, Micropublishing, Office Copying, and Automated Information Management Programs.

30. Mission Records. Records that provide direct evidence of the accomplishment of an agency or office mission. These records do not include those of an administrative nature. Missions are usually defined by General Order.

31. Noncurrent Records. Records no longer required to conduct agency business.

32. Nonrecord. As defined in reference A3, "Nonrecord materials are those Federally owned informational materials that do not meet the statutory definition of records (Section 3301 of reference A4) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit."

33. Nonrecord Materials. DLA-owned informational materials excluded from the legal definition of records. Includes extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum material intended solely for reference or exhibition.

34. Permanent Records. DLA records determined to have sufficient historical or other value to warrant continued preservation beyond the time they are needed for administrative, legal, or fiscal purposes.

35. Personal Papers. Nonofficial, or private, papers relating solely to an individual's own affairs. Designated as such and kept separate from agency records. Also called personal files or personal records.

36. Record. As defined, in part, in Section 3301 of reference A4, "Records include all books, papers, maps, photographs, machine-readable materials, and other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of official business and preserved, or appropriate for preservation by that agency or its legitimate successor, as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them". A record covers information in any medium, and includes operational logistics, support and other materials created or received by the Agency in training, contingency, and wartime operations as well as in all routine and peacetime business.

37. Recordkeeping System. A manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

38. Records Custodian. The individual or office in charge of agency records. Often used interchangeably with records custodian.

39. Records Disposition. Any action removing records from legal and/or physical custody of DLA such as physical destruction, formal transfer to the National Archives and Records Administration for historical preservation and archival use, transfer to other Federal agencies incident to transfers of functions or responsibilities, or donation to parties outside the Federal Government for preservation or use.

40. Records Holding Area (RHA). A facility established at an activity to economically store and service cutoff files pending destruction or retirement to a federal records center.

41. Records Maintenance. Actions related to the arrangement and organization of records, including physical location of records, and the use of office equipment and supplies, for the economical and efficient use of records.

42. Records Management. As defined in Section 2901 of reference A4, "records management means the planning, controlling, directing, organizing, training, promoting and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations".

43. Records Management Application (RMA). Software used by an organization to manage its records. Its primary management functions are: classifying and locating records, storing and retrieving records, and disposing of records.

44. Retirement. The transfer of records to agency storage facilities or a Federal records center.

45. Temporary Records. Records approved for disposal, either immediately or after a specified retention period. Also called nonpermanent records.

46. Transfer. The movement of records from one location to another, especially from office space to RHAs or Federal records centers, from one DLA organization to another, to another Federal agency, or from office or storage space to the National Archives for permanent preservation.

47. Vital Records. Essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).

Encl 6
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Figures